THE ROLE OF THE SECONDARY SCHOOL PRINCIPAL IN POLICY IMPLEMENTATION AND SCHOOL IMPROVEMENT

K. A. LEITHWOOD

This research project was funded under contract
by the Ministry of Education, Ontario.

It reflects the views of the author and not
necessarily those of the Ministry.

The Honourable Sean Conway, Minister
Bernard J. Shapiro, Deputy Minister

Ontario
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Ken Leithwood

Section One

Overview of Project

INTRODUCTION

The growing body of knowledge about planned changes and the processes that contribute to school improvement unambiguously point to the role of the school principal as a substantial part of the explanation for successes and failures. Recognition of the vital role of principals has stimulated a considerable amount of empirical research over the past ten years dominated by four sets of questions.

"What is it that principals do?" has driven much of this research: results describe the behaviours of both typical[1] and highly effective principals[2] as well as alternative styles of principal behaviour[3] and patterns of growth in principal effectiveness.[4]

"What effect do principals have on schools, especially on the outcomes achieved by students?", has guided a second, significant group of studies about principals. Results of these studies , of which there are at least forty,[5] suggest wide variation in effects depending on the nature of principal behaviour. "Effective" behaviours have been positively related to six types of school effects. Three of these effect or outcome types concern students directly: attitudes toward school, basic skills and such "other" behaviours as attendance and vandalism. Each of the three remaining types of outcomes on which principals have been shown to have a demonstrable effect concern teachers: their adoption and use of innovative classroom practices, job attitudes and perceptions of the principal's leadership.

Principals' influence on schools, while potentially significant, is often quite indirect. Understanding how principals influence schools depends on knowledge about those factors which mediate principals' behaviour. "Through what mechanisms is the principal's influence transmitted?", while a critical third question, has been the focus of a relatively small amount of research. Results of this research are exemplified in reports from the Instructional Management Program of the Far West Laboratory for Educational Research and Development[6] identifying five elements of school climate and six elements of instructional organization and practice. An overlapping but more extensive set of mediating variables has been identified in our own research;[7] these include some ten classroom variables and seven non-classroom, school variables through which the influence of principals is transmitted.

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[1] See, for example, Wolcott (1978), Morris et al. (1981), and Valentine et al. (1981) for research on this question ranging widely in methods used.

[2] See, for example, Keefe et al. (1983).

[3] Hall et al. (1982).

[4] Leithwood and Montgomery (1984a).

[5] These studies are identified and reviewed in more detail in Leithwood and Montgomery (1986, Chapter 1).

[6] For example, Dwyer (1984).

A fourth set of questions included in recent research on the principal's role concerns factors influencing principals' behaviour. Relatively little research has been undertaken to identify these factors and to understand the nature of their effect. Yet much of the other research to which we have alluded, had as its long-term purpose, increasing the success of school improvement efforts by helping principals contribute more effectively to those efforts. Realizing this objective seems unlikely, however, in the absence of a better understanding about what influences principal behaviour.

---

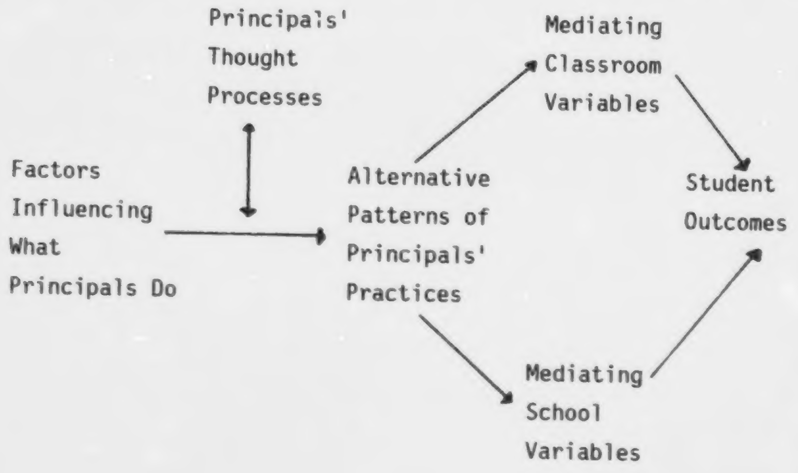
[7] Leithwood and Montgomery (1986, Chapters 11 and 12).

BACKGROUND AND FRAMEWORK

This project was undertaken as a direct outgrowth of previous research, funded by the ministry, concerned primarily with the elementary school principalship. The four questions alluded to above were incorporated into a framework to guide the research, illustrated in Figure 1. (The relationships among constructs in this framework appear to be linear; this helped simplify the initial research design but should not be viewed as an attempt to depict the very complex, interactive nature of these relationships, in practice.) Results of this research are reported in Leithwood and Montgomery (1986), Trider, Leithwood and Montgomery (in press) and elsewhere. Figure 1 suggests that principals' practices differ in ways that have substantially different effects on student outcomes. The effects are felt through mediating classroom and school variables, rather than directly (e.g. the principal influences teachers' instructional behaviours which in turn influence what students learn). Principals' practices, in turn, are shaped by a host of internal factors (e.g. values and beliefs) and external factors (e.g. expectations of others) in ways that depend on the meaning attributed to them by the principal (their thought processes).

The current project, largely guided by the same framework, focused on the secondary school principalship. In this case, however, more attention can be given to factors influencing what principals do - particularly those formal influences such as training, performance appraisal and selection. No direct inquiry about principals' thought processes was conducted.

Figure 1: A framework for guiding research on the principals' role


Principals' Thought Processes
Mediating Classroom Variables
Factors Influencing What Principals Do
Alternative Patterns of Principals' Practices
Student Outcomes
Mediating School Variables

OBJECTIVES

The objectives of this research were:

1. to identify and describe dominant overall patterns of secondary school principals' practices and to estimate their relative effectiveness in improving school processes and outcomes; methods and results concerning this objective are reported in section 2 of this report.

2. to clarify differences between patterns of elementary and secondary school principals' practices and to provide reasons for such differences; section 4 reports methods and results related to this objective.

3. to identify and describe the specific practices used by secondary principals to implement policy and to discover the factors which determine these actions; methods and results concerning this objective are reported in section 3.

4. to develop (a) some of the critical objectives that should be incorporated into pre-service and in-service secondary principal education, and (b) guidelines for the selection and appraisal of secondary principals; results of work toward this objective are described in sections 5 and 6.

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Section Two

A Profile of Growth In Secondary School Principal Effectiveness

RESEARCH PURPOSES AND METHOD

Research Purposes

Previous research on the practices of elementary school principals has resulted in a multidimensional, multilevel description of patterns of practices, ordered from least to most effective.[8] Small numbers of secondary principals provided data for this research and many have informally endorsed the results as largely valid for them, as well. In spite of this endorsement, there are important differences in the contexts within which elementary and secondary principals work (e.g. size of school, nature of student, organizational structure) which appear to have the potential for differentiating the two roles. This component of the project was designed to develop a description of growth in secondary principals' effectiveness comparable to "The Principal Profile" for elementary principals.

Method

An interview instrument designed and refined in the previous research was adapted for use in collecting information from secondary school principals about their practices (Appendix A). Using this instrument, interviews were conducted with a sample of 37 principals selected from six school systems varying widely in organizational structure and rural-urban population distribution. All were public school boards located in the central or southern regions of Ontario within 150 kilometers of Toronto (York Region, Halton, Durham, Northumberland, Peel and Peterborough). Permission to contact principals in their school systems was requested by letter from directors or other senior administrators; in addition, senior administrators were invited to nominate secondary principals in their school systems whom they believed to be especially effective. All those nominated in this way (about 10) were included in the sample; the remainder were selected randomly within each system up to a quota established for each school system. This quota was designed to result in approximately equal numbers of principals from each system. Most principals were contacted by letter as well; the letter explained the purposes of the study and asked for their voluntary participation. Only one principal declined to participate. In the case of tne school system, the principal investigator attended a principals' meeting to explain the study and request participation.

Interviews were conducted with principals in their own schools over a three-month period. These interviews were audiotaped and lasted an average of 2 1/2 hours. Audiotaped interviews were then transcribed, rated in relation to "The Principal Profile" and content analysed.

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[8] Leithwood, K. A., and Montgomery, D. J., Improving Principal Effectiveness: The Principal Profile. Toronto: OISE Press, 1976.

AN OVERVIEW OF GROWTH IN PRINCIPAL EFFECTIVENESS

Results of this study of secondary school principals indicate that the basic structure of "The Principal Profile", describing growth in elementary principal effectiveness, provides an appropriate framework for describing growth in secondary principal effectiveness. This structure is briefly described below as an introduction to the more detailed results of the study reported in sub-sections 2.3 through 2.6.

Assumptions

Outcomes considered desirable for students to achieve have been taken as the fundamental basis for defining principal effectiveness. Formal policies for public education have been used as the basic source of outcomes-in-view while describing growth in both elementary and secondary principal effectiveness. These policies tend to emphasize the development of problem-solving and decision-making skills, communicative competence, adaptability to change, personal value systems and responsible social attitudes and beliefs. The results of this research describe behaviours considered to be increasingly effective in stimulating growth among students with respect to these outcomes. The ambitious nature of these outcomes helps account for the more complex sets of behaviours included in these results compared with accounts of principal behaviour focused on simply improving the schools' capacity to teach traditional basics.

Dimensions of Practice

Four categories or dimensions of principal practices have been found in the research to be especially important in improving school effectiveness: Goals, Factors, Strategies and Decision Making. These dimensions and relationships among them, as illustrated in Figure 2, provide one component of the profile.

Figure 2: Relationship of dimensions used to describe growth in principal effectiveness

Strategies **Factors** **Goals**

Decision making

Decision making is a superordinate dimension of principal practices. It cannot be separated from the other three dimensions, in reality, since they provide the content and substance about which choices are made. Decision making is influenced by the principal's perception of many influences both inside and outside the school.

The dimension "Goals" incorporates (a) the long and short term ends that principals strive to achieve in their schools, and (b) the procedures they use to identify and gain support for such ends and communicate them to others.

"Factors" are those aspects of the classroom and school environment that impinge directly on students' experiences in school (e.g. the instructional strategies of the teacher); they account for what students learn. Given a set of goals, principals decide what factors bear on achievement of those goals and what conditions must prevail within selected factors in order for desirable levels of such achievement to occur.

Having identified factors critical to achievement of goals and having determined aspirations for conditions within those factors, principals must still take some action to influence factors. The sets of actions taken by principals, "Strategies", determine the degree and nature of influence the principal has on factors.

Eighteen factors are explicitly referred to in the subsequent description. They include:

1. Factors affecting student classroom experiences

    1.1 The teacher
    1.2 Program objectives and emphasis
    1.3 Instructional behaviours of the teacher
    1.4 Materials and resources
    1.5 Assessment, recording and reporting procedures
    1.6 Time/classroom management
    1.7 Content
    1.8 Interpersonal relationships in the classroom
    1.9 Physical environment
    1.10 Integration

2. Factors affecting student school-wide experiences

    2.1 Human resources
    2.2 Material and physical resources
    2.3 Relationships with community
    2.4 Extra-curricular and intramural activities
    2.5 Relationships with out of school staff
    2.6 Relationships among staff
    2.7 Student behaviour while at school
    2.8 Teachers' relationships with student while out of the classroom.

Detailed definitions of these factors can be found in Leithwood and Montgomery (1986).

Levels of Effectiveness

The second component of the description of principals' practices identifies growth in effectiveness through four distinct levels, level 4 being highly effective and level 1 being barely acceptable. Levels 1 and 4, while the extremes, nevertheless describe behaviour actually prevailing among currently practising principals; about 5 to 10 per cent of all principals, we estimate, fall into each of the extreme categories.

At the risk of oversimplification, the gist of the practices engaged in by principals at each level can be divided into four categories:

- The Problem Solver (Level 4: Highly effective; focus on students);
- The Program Manager (Level 3: Reasonably effective: focus on program);
- The Humanitarian (Level 2: Modestly effective; focus on climate or interpersonal relationships);
- The Administrator (Level 1: Marginally effective; focus on regulations).

Subsections 2.3 through 2.6 each describe, in detail, a single level of secondary principals' practices in terms of the dimensions Goals, Factors, Strategies and Decision Making.

LEVEL ONE

1. Goals[9]

1.1 Nature of Goals

- The principal's philosophy is that the principal should be concerned with the "operations" or administrative side of the school, dealing just with policy, organization, planning and management. Program is the responsibility of the department heads and teachers. As a result the principal is somewhat distant from classrooms, instruction, and frequently the day-to-day running of the school, and only becomes involved in some of these areas when required to do staff supervision and evaluation, or if problems arise.

- The principal's main goal is to run a "smooth ship". This means that the principal is concerned about meeting system and Ministry of Education requirements by attending to the logistical and administrative details perceived necessary to do that. The principal values control and has a somewhat simplified perception of the total school operation to be controlled. Different aspects of the school's operation (such as relationship with the community, timetable, failure rate, discipline, or attendance) may become priorities at different times. The principal always places priority on establishing the overall organization of the school each year (e.g. staffing and timetable).

- The principals' goals for students (e.g. to get along with each other, do things they are interested in, or good marks) are vague, general and not comprehensive, as compared with the Ministry of Education goals.

- Change is viewed as inevitable and is responded to administratively but rarely substantively.

1.2 Source of Goals

- The principal's goals are based on personal preferences, beliefs and values. They are very "self" oriented, and are concerned with meeting personal needs which can vary from survival, to not making waves, to enjoying administration but not program.

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[9] This section deals with principals' personal goals only. School goals will be dealt with in Strategies 3.4

1.3 Uses of Goals

- As a basis for decision making, the principal's goals severely limit the decisions he/she is involved in. They may also limit the principal's decision-making process.

- The principal usually assumes everyone agrees with this view of the principal's role.

- The principal's goals are the justification for a somewhat autocratic stance with respect to the administration of the school and a laissez-faire attitude toward program and many other aspects of the school, for which others are assumed to have primary responsibility.

2. Factors

2.1 Factors of Most Concern

- The factors of most concern to the principal relate directly to the operation and administration of the school. The most important factors tend to be:
  - 2.1 Human Resources (which includes staffing and timetable, headships and role of the vice-principals)
  - 2.7 Student Behaviour (including attendance, code of behaviour, discipline, involvement in extra-curricular activities)
  - 2.4 Extra-curricular Program
  - 2.3 Relationships with the Community.

- The principal does not view program as separate factors which can be influenced, with the exception of 1.5 Assessment, Recording and Reporting Procedures. Program is considered as a whole and is thought of as the courses of study. They are considered to deal primarily with content. The principal is only concerned with these factors when a decision is being made about whether the school should offer particular programs or courses.

- The principal is most concerned with out-of-classroom factors. Other factors may be completely ignored or assume priority depending on unanticipated situations which arise: there is a tendency toward "crisis management". The overriding characteristic is an imbalance in attention paid to factors; some are completely ignored.

2.2 Nature of Expectations Held for Factors

- The principal's expectations tend to be vague and general in nature. More specific expectations may be held for factors of most concern to the principal.

For instance, because the principal is concerned about 2.1 Human Resources and how staff are deployed across the school, he/she may have specific expectations about hiring staff, department heads' responsibilities, and the nature of the timetable. This principal will frequently initiate a change in the timetable based on specific expectations he/she holds about how a timetable should work to create a minimum of problems and be fair to students and staff.

- The principal is usually concerned about "fairness" in expectations but what is fair is very subjective and intuitive, and often articulated at a very general level.
- The major expectation for program is to meet official requirements and have course outlines on file. If official requirements delineate specific aspects of program such as objectives, resources, evaluation, that must be described in the course outline, the principal expects these to be there, although he/she may have no particular expectations regarding particular objectives, resources, and so on.
- The principal may have school-wide expectations for 1.5 Assessment.
- The principal's expectations for 2.7 Student Behaviour are general in nature and include promptness, attendance, respect, manners, tidiness, participation.
- The principal's main expectation for 2.4 Extra-Curricular Activities is that the school have a number of activities to balance the academic program, boost school spirit and motivate students to attend school. The extra-curricular program is seen to be important because it affects the school's image. The principal expects staff to initiate and manage the extra curricular activities.

2.3 Source of Expectations

- Expectations tend to be based on a combination of personal feelings and intuition and official requirements or expectations from the system and the Ministry of Education.
- Expectations for factors of concern to the principal tend to be rather fixed and not subject to change. Expectations for other factors, especially for those where there are no official requirements, tend to be swayed by staff preferences, parental demands, administrative orders of the principal's interpretation of an educational trend. Such expectations are highly "negotiable", in part because the principal does not have a great deal of curricular or instructional knowledge.

3. Strategies

3.1 Criteria for Choosing Strategies

- The principal has a strong need to be in control of the administrative matters in the school as these are seen to be his/her responsibility. Control is assumed through the use of vested authority. In addition, the principal prefers to be uninvolved in decisions he/she believes to be clearly staff responsibilities.

- The choices of other general strategies used by the principal are based on the principal's intuitive judgement about what is required to keep things under control and operating smoothly.

- If the system requires the principal to conduct systematic Staff Supervision and Evaluation or other strategies, the principal does so but they may or may not be viewed as strategies that can be used to influence other aspects of the school, or achievement of goals.

3.2 Emphasis among Strategies

- The principal relies very heavily on the use of vested authority as a strategy for dealing with administrative matters. General-purpose strategies may be used to influence classroom factors, including the use of vested authority to require staff to do something he/she believes should be done. However, these strategies are used in a superficial way and depend to a large extent on the principal's personality and the norms, traditions and expectations of the school and the system.

- The principal may devote some time to interpersonal relationships among staff if there are problems but if relationships are satisfactory, will not intervene.

- Other strategies may be used in isolated cases, depending on the situation.

3.3 Characteristics of Strategies

PART A: GENERAL PURPOSE STRATEGIES

3.3.1 Building and Maintaining Interpersonal Relationships, and Motivating Staff

a. Involving staff

- the predominant method of involving staff is to ask for their input regarding some of the decisions made by the principal such as budget, policies or staffing. The principal may rely on a system of committees and/or ad hoc groups to provide input on issues, problems and decisions. Otherwise the principal tends to give staff involvement by delegating some area of responsibility to the department head and staff if an interest is shown by staff, or in areas the principal does not consider to be the principal's responsibility.

b. Doing things with staff.

- the principal may occasionally attend a workshop with staff or arrange some type of professional development for staff and participate.
- the principal typically stays somewhat apart from staff either because he sees the two roles as very separate and distinct or because he has difficulty relating to staff.

c. Being positive, cheerful and encouraging with staff

- the principal uses an ad hoc approach to motivating and encouraging staff. This includes commenting on "good things" seen in the classroom, if some type of visit is made, use of the formal Staff Supervision and Evaluation to comment on things done well and things to work on next year, encouraging a professional tone in the school, letting teachers pursue an area of interest (e.g. drama). Most principals, in addition, have other unique strategies which are occasionally used to provide support, positive feedback, encouragement.
- however, the principal also takes pride in being able to be "snarky", "volatile", or "angry" when needed, although the principal tries to have good, if somewhat formal and distant relationships with staff.
- the principal may do little things to reward staff but not necessarily because they are bettering the school; these are more like personal favours.
- the principal is frequently supportive if someone wants to initiate something but rarely is the initiator.

d. Being available to staff

- the principal wants staff to come to him/her if there is a problem but does not structure opportunities to ensure that this happens, other than being in the office with an "open door" at certain times.
- the principal is not always willing to deal with the concerns of staff, and concerns may have to wait until it is convenient or the principal chooses to deal with them.

- the principal frequently admits to not being in the halls, around the school, or in the classrooms enough.

e. Being honest, direct and sincere with staff

- the principal usually tells a teacher if he/she has done something the principal doesn't like, but these tend to be either rather trivial matters or very serious matters. There is not an ongoing open relationship which is used to strengthen the staff, over time.

- the principal may be so blunt and direct as to hurt or upset a staff member, as a result of a heavy-handed authoritarian approach.

f. Acting as a role model

- the principal believes he/she models the type of professional behaviour expected of staff including appropriate dress, promptness, etc.

- however the principal may, at the same time, behave in ways inconsistent with the ways he/she would expect staff to behave (e.g. lack of involvement or participation, loss of temper, etc.).

3.3.2 Providing Staff with Knowledge and Skills

- encourages staff to participate in such things as conferences and workshops if he/she is aware of a need, but provides little direction. The decision to participate and the choice of activity is the staff member's.

- the principal may help a staff member to visit another school or facility, if he/she is aware of a need.

- the principal attempts to make staff aware of programs available to them.

- most suggestions are made as a result of Staff Supervision and Evaluation.

- the principal may delegate professional development for the school to a vice-principal or a committee and will support most of their decisions as long as professional development is not part of the regular staff meetings. In some cases school-wide professional development needs may be identified in some type of year-end review process.

- the principal expects the department heads to be responsible for program and instructional leadership in the departments and to encourage staff to participate in professional development activities relevant to their programs.

3.3.3 Using Vested Authority

- the principal believes he/she is responsible for what goes on in the school and therefore attempts to use vested authority to make sure that what goes on is what he/she believes ought to go on. This may mean that the principal always chairs staff meetings or "looks after" budget or changes or approves the organization, and has the final say in most administrative decisions.
- if in doubt as to what to do the principal will use vested authority.
- the principal uses vested authority to assign complete areas of decision making to others (e.g. discipline to a vice-principal or all program matters to the department heads) and sometimes fails to see opportunities in these areas when his/her vested authority might be useful.

3.3.4 Facilitating Within-School Communication

- relies on the staff meeting as a major means of communication within the school. They are used predominantly to give out information, get staff input and discuss decisions made by the principal, department heads and perhaps vice principal(s).
- the principal is very willing to cancel staff meetings.
- most principals also rely on memos, or notice boards.
- may occasionally try to facilitate communication among staff by encouraging staff to "open up" or by acting as a facilitator to help staff solve a problem.
- gaps in communication within the school are not uncommon and staff may occasionally receive "surprises" because of poor communication.
- the principal may have a staff handbook in which his/her expectations of staff are spelled out, or may just tell these to staff.
- some principals rely on department head meetings to communicate with staff and may or may not monitor the follow-up to these meetings to ensure that communication is occurring.
- minutes of department heads meetings are not systematically shared with staff.
- in smaller schools the principal may rely on just face-to-face communication.

- liaison with departments is frequently poor to non-existent and the principal may rely simply on reading department meeting minutes if department meetings are held.

- the overall tone in the school may be a little fragmented, or disharmonious.

- the principal frequently relies on the federation to deal with matters of professional conduct.

3.3.5 Facilitating Communication Between the School and Community

- the nature of the relationship with the parents/community depends to a great extent on the principal's personality and personal interests, and on the community and staff.

- the major contact between school and the community occurs through report cards and newsletters and student discipline procedures. The principal encourages staff to handle parent interviews but will sit in on an interview if requested to by either the parent or teacher.

- the principal may say that parents and other members of the community are welcome in the school and opportunities are provided for them to come to the school including plays, musicals, concerts, commencement, parents' night etc.

- contacts with the community are predominantly one-way (school to parents).

- the principal likes to see the school building well kept to enhance its image with the general public.

- co-op education, special education and student discipline procedures are seen as ways in which communication between the school and the community can occur.

- the school band and choir may perform in the community.

- the school may participate in local fund raising activity such as the United Way.

3.3.6 Finding Non-teaching Time for Staff

- if requested or necessary the principal will cover a class or have someone cover a class so a staff member may attend, for example, a workshop.

- the principal may attempt to cover teachers or calls so teachers have some non-teaching time.

- no attempt is made to suggest how a teacher should use non-teaching time.

3.3.7 Establishing Procedures to Handle Routine Matters

- the principal clearly picks out areas of the administration he/she wants to be responsible for and attempts to develop procedures to organize and manage those areas. However, there may be real gaps and instances of inefficiency.

- the principal usually has several organizational procedures he/she implements in every school because he/she believes them to be efficient and effective (e.g. a committee to establish the staff meeting agenda, or "the policy book").

- the principal may often not be sure how some routine matters are handled in the school, in areas delegated to others.

PART B: FACTOR SPECIFIC STRATEGIES

3.3.8 Goal Setting, Planning and Program Development

- School Goals: the principal establishes school goals if required to by the system. The principal usually establishes or starts the goals and asks for staff reaction. The goals usually relate to personal concerns arising out of administrative areas, or the principal's own personal goals and priorities, unless the system requires additional specific areas to be included in the principal's goals. Goals may also be a reaction to policies such as OSIS, or to tradition in the school.

- School goals tend to be very general in nature (e.g. implement OSIS, or special ed. or co-op ed.) unless the principal has a specific personal goal he/she would like to achieve in the school, such as implementing a new timetable.

- The principal usually asks for volunteers to work on school goals and committees, or ad hoc groups may be formed which will collect information and report back to the staff as a whole. The committee may be asked to make recommendations; these will be discussed with staff and the principal will make the decision.

- Program Goals: If the system requires departments to set goals, the principal asks the department heads to establish department goals. If the system requires the principal to review department goals he/she will; otherwise they may not be reviewed. The principal may simply ask that they do not contradict school directions.

- Program development is viewed as entirely the responsibility of the Department Heads. The principal only requests that Ministry of Education and system guidelines be referenced. If the department head does not fulfill program responsibilities the principal has to use another strategy to influence program.

- The principal may accept minimum course outlines on file in the office as evidence that program is in good shape in the school. The principal may or may not have read course outlines.

- The principal may request that course outlines be updated regularly.

- The principal's only involvement in program development occurs when general decisions are being made about which programs and courses the school will offer (e.g. whether or not the school will offer French Immersion, whether to drop a course, etc.)

- The principal may request that in multiple section courses a common course of study be used.

- If staff request time for program planning during professional development days, the principal will try to accommodate their request.

3.9 Program Implementation

- The principal sees program implementation simply as course revision and therefore the department head's responsibility and may only discuss implementation once or twice a year with department heads.

- The principal may occasionally discuss general trends with department heads (e.g. in technology or business).

- The principal passes new programs on to staff with little or no direction, other than that provided by the school system.

- If the school system has a formal implementation procedure, the principal either delegates responsibility for its use to someone else in the school or selects only certain features of it to attend to. Even these features may be significantly modified by the principal's interpretation and use.

- If staff request assistance with program implementation, the principal assists in making necessary arrangements.

- The principal empathizes with staff concerns when there are numerous new programs to implement but does little or nothing to regulate their number and rate of implementation. However he/she may approve a department head's request to delay the implementation of particular programs.

- The principal is usually supportive if a department head or staff member wants to initiate something but does not develop initiatives in the program area him/herself.

3.3.10 Program Monitoring

- Program monitoring is believed to be the responsibility of the system and the department heads and the principal does not become involved unless the system requires it or a serious problem (such as a high failure rate or declining student enrolment) develops in a particular area. Staff evaluation provides the only formal opportunity for the principal to review some programs. Observations about programs are shared with department heads.

- The principal discusses any system reviews of program with the relevant department heads.

- The principal may make some informal observations about programs as opportunities arise (for example: on a classroom visit; when reading marks statistics; when reading course outlines; when reviewing department goals, when making amendments to the course calendar, or at staffing time).

3.3.11 Providing Support Resources

- The principal may handle budget in a variety of ways. The principal may make all the decisions, with input from department heads, or the principal may completely delegate the budget to a vice-principal, or, the principal may form a staff committee to advise on budget, especially for the decisions about how much money each department will receive. In any case the department heads are told in an autocratic fashion what their budget will be.

- The principal usually makes decisions about school-wide budget items.

- The principal does not counsel departments or staff about their use of resources to promote conservation or safety.

- The principal places little value on non-board funds.

- Departments are responsible for resource and equipment inventories and the principal is not involved.

- The principal encourages staff to make their own arrangements for human resources they believe they require, but will provide assistance if necessary.

- The principal takes little or no action to involve the school in the community unless there is school system or community pressure to do so or the principal has a strong personal area of interest such as with the elderly, or United Way.

- The principal has no plan for involving the community in the school but tends to respond favourably to opportunities initiated by others (e.g. Band, Parents).

3.3.12 Staff Supervision

- The principal recognizes that staff supervision is a responsibility of the principal and vice-principal and normally carries it out according to the policies and procedures of the system, although these may not be well understood or may be only partially or superficially followed.

- The principal frequently finds it difficult to find the time to do all the system expects in staff evaluation and frequently feels too much data are collected.

- Staff evaluation is usually seen as an administrative requirement and not as a strategy for change and so it is done in isolation from other activities in the school.

3.3.13 Direct Relationships with Students

The principal:

- provides an example which poorly reflects the images of the educated person to which the school program, as a whole, aspires. The principal's visibility to students is very limited.

- provides an example which poorly reflects a desirable model of the learner and shows a visible interest in only some student-related activities such as the band, Ontario Scholars, some athletics, drama.

- infrequently has informal and spontaneous contacts with students. When such contacts occur he/she is inconsistent in the messages conveyed and may sometimes negatively reinforce the images of the educated person and model of the learner adhered to by the Ministry of Education.

- usually appears in grade assemblies in the fall to spell out expectations and will call assemblies if there are problems.

- usually does opening exercises.

- has an arbitrary approach to discipline that is aimed at control.
  - criteria for discipline are based on the principal's desire for controlled behaviour;
  - discipline criteria, procedures and consequences are communicated to staff and all students in the school's code of behaviour;
  - the criteria and consequences are unevenly and inconsistently applied;
  - staff may disagree with the principal's view on discipline but his/her views prevail at the school level; discipline within classrooms may vary substantially;
  - there is usually a very high student suspension rate;
  - discipline may be a problem in the school;
  - students may be blamed for problems in the school which go unattended.

4. Decision Making

4.1 Forms and Procedures for Decision Making

4.1.1 Forms

- The principal relies heavily on the use of vested authority to make independent decisions concerning administrative matters in the school.

- The principal does ask staff for their input on some decisions which directly affect them and may frequently use communities or ad hoc groups of department heads to collect information and make recommendations. The principal will then make the decision. Occasionally a vote will be taken.

- The principal does not suggest how decisions ought to be made at the department/division level. Many different forms of decision making may prevail in the school.

- When the principal does involve staff in a decision, the tendency is to make the decision in favour of the majority.

4.1.2 Procedures

- The principal is most concerned about decisions which must be made for the school to function and frequently uses vested authority to make them. In complete contrast, the same principal may completely delegate many decisions to others, especially in areas where he/she feels a lack of expertise.

- For decisions in which the principal involves the staff, the process may vary from decision to decision for no apparent reason. Sometimes different points of view will be stated explicitly, sometimes not.

- Sometimes differences in points of view end as unresolved confrontations and the principal legislates a decision.

- The principal is either uninvolved in the decision-making process used by departments/divisions or is involved in an informal, detached and unsystematic way, making no attempt to influence the processes used. The result can be the use of very different processes across the school.

- The principal strives to be aware of the timeline for decisions which must be made in the school but occasionally misses some because of a lack of planning.

4.2 Attitude and Stance Toward Decision Making

- The principal has a predominately reactive stance to decisions which must be made in the school. The principal reacts to directives from the administration and Ministry of Education and responds as he/she perceives is required.

- Where problems must be solved and decisions made, the principal frequently has his/her mind made up before seeking input.

- The principal relies on the experience of others such as the department heads and especially the Head of Student Services and the vice-principals where he/she lacks expertise. Many decisions are delegated to these people.

- The principal tends to blame others for situations and problems when he/she has not taken action either and is willing to let problems carry on for a long time.

- Meetings with the department heads are not seen as very important in the school's decision making except as one source of input and reaction or to formulate recommendations.

- The principal may occasionally take the initiative and do some planning or developing in an area of concern such as timetable, attendance, failure rate etc.

- The principal has little or no involvement with many of the factors which affect students and deals with responsibilities in these areas by reacting to problems or situations as they arise. There is a strong tendency toward crisis management in which each decision/problem is considered new and new solutions must be sought.

- The principal's reaction to change is frequently negative and defensive. Changes are avoided if possible, or delayed as long as they can be.

4.3 Monitoring Decision Making

- The principal's monitoring of decision making is predominantly his/her feeling about how well things are going, based on informal observations, the number of problems that occur, etc. Problems are treated reactively with no systematic search for solutions which will prevent problems from recurring.

- Department decision making is monitored predominantly by reading department minutes and occasionally reacting to them, or attending some part of a department meeting.

- A year-end meeting to review the year may be held with staff and this provides some evaluation of the principal's decision making.

- There is frequently little follow-through to decisions.

4.4 Defining Decisions and Clarifying Problems

- The principal tends to view decisions and problems either in the context of how to keep the school running smoothly or in isolation, as they arise, or in terms of meeting official requirements, or as someone else's problem.

- The principal tends to seek the path of least resistance in defining decisions and dealing with problems. This frequently means simply taking steps to correct a situation by dealing with the symptoms and not the causes, to keep things running smoothly and not "make waves" unless pushed to do otherwise.

4.5 Criteria Used in Decision Making

- The source of criteria used in decision making is the principal's valuing of a smooth running school. The principal is concerned with how effectively the administrative aspects of the school function and wants the school to present itself well. The principal often has preconceived ideas about these things. These concerns translate into criteria used by the principal in decisions he/she makes and may often be arbitrary and judgemental. Examples include: "Numbers", tradition, practical concerns such as "can we timetable it?"

- The concern for the school presenting itself well frequently gets translated into criteria used in making decisions for which they may not be entirely appropriate. For example the principal may be motivated by this concern to place a heavy emphasis on some part of the program highly valued by the community or administration, or the principal him/herself, such as "the basics", with the result that other equally important goals are ignored or given too little attention.

- In some cases in which the principal's usual criteria do not apply, the principal makes decisions on the basis of his/her "feeling" or intuition, with the claim that much about education is intuitive.

- Criteria may be ill-defined and few in number.

- The principal stresses the importance of the school running smoothly in an attempt to influence department/division decision making in that direction. If a problem arises the principal may legislate a solution using his/her criteria as the basis.

- The principal may have a tendency to think about external politics more than internal school needs.

.6 Use of Information in Decision Making

- The type of information considered most relevant by the principal is that which concerns the administration of the school and his/her responsibilities in the school. This type of information is sought by the principal and is usually in the form of memos, forms, procedures and policies from administration and the Ministry of Education.

- The principal usually seeks input for major decisions affecting the school. The nature and source of the input varies depending on the situation. It can include input from the department heads, committee deliberation, an ad hoc group, the opinions of a few favoured, trusted, frequently relied on people on staff, and the staff as a whole. No quality control is used to screen the information. It is all accepted. It may or may not relate to the criteria used to make the decision.

- The principal may use a day at the end of the year when the year is reviewed, as a major source of input from staff.

- The principal usually discusses policy decisions with department heads, comes up with recommendations and presents them to staff. The principal usually makes the decisions after or before the discussion.

- Very little information is systematically collected within the school aside from that requested by administration. The principal may read marks statistics and may "keep tabs" on things to be sure they are running smoothly.

- The principal may indicate an openness to information if it is provided, but does not actively seek it.

- The principal responds to staff requests for information to facilitate decision making at the department/division or individual level by providing his/her opinions or other information he/she is aware of or referring their request to someone else. The principal passes on information to staff which he/she believes is more their concern than his/hers and does so in an informal, ad hoc fashion.

- The principal rarely requires staff to indicate the type of information they have used in decision making unless he/she has a particular interest in the decision.

- The principal monitors functions in the school which obviously affect the running of the school and its appearance.

LEVEL TWO

1. Goals

1.1 Nature of the Goals

- The principal's philosophy is that the requirement for sound education is a "good" environment in the school.

- The principal's goal is to try to provide the kind of environment he/she believes is needed for a good education - primarily good relationships in the school, happy students and staff and a smooth organization. The principal does not believe the principal is the principal-teacher, but rather that department heads are responsible for program and the principal is responsible for the environment or climate of the school. The principal offers input on program at key times such as when the program booklet of course offerings is being developed or sections are being determined, but otherwise relies on the "professionals" with expertise to deal with these areas, including some areas of the organization, such as timetable.

- The principal sees himself/herself as an advocate for "kids", cares very deeply for them and usually has one or more personal priorities he/she thinks are very important for students (such as dealing with alcohol abuse or developing appreciation and tolerance for people of different cultures, religions, etc.)

- The principal believes that the most important things he/she does are creating the right environment, hiring the right people and maintaining good public relations, because the principal is the "image-maker" for the school. The principal may profess to liking people not paper-work, and believe that you cannot run a school like a business, and believe that "respect" is the single most important ingredient in the school.

- The principal may state that his/her goal is to provide students with a good education but the principal's definition of a good education may be very general and encompass only parts of the Ministry or Department of Education's image of the educated person and the related goals of education. Ensuring a harmonious environment frequently becomes an end in itself for the principal. This is defined as meeting the perceived needs of staff, for the most part, and the emotional and psychological needs of the students. The principal is very supportive of special education, because that is consistent with his/her values of helping and caring for people. The principal wants students to experience success.

- The principal's goal is very consistent over time and there is little recognition of the need for change, except as it would help make the school a happy place where students and staff want to be. This frequently means the principal tries to introduce variety (rather than change) to keep people interested, motivated and happy.

1.2 Source of Goals

- The source of the principal's goals is his/her beliefs about the importance of a good environment and a desire to provide a good education as he/she conceives of it.

1.3 Uses of Goals

- The principal stresses to staff the importance of a good environment in the school and expresses his/her views about the relationship between environment and education. Staff know the basis upon which the principal organizes the school.

- Providing a good environment in the school is the focus for the principal's decision, activities, planning and evaluation. The principal's beliefs and goals are the basis for his/her style.

- The principal's beliefs result in a lot of delegation of particular tasks and responsibilities to people with expertise so the principal can attend to the "environment".

- The principal willingly describes his/her philosophy about education to others.

2. Factors

2.1 Factors of Most Concern

- The factors of most concern to the principal are those involving relationships among different groups associated with the school. These include:

  1.8 Interpersonal Relationships in the Classroom
  1.5 Assessment, Recording and Reporting
  2.1 Human Resources
  2.3 Relationships with the Community
  2.5 Relationships among Staff,
  2.7 Student Behaviour While at School
  2.8 Teachers' Relationships with Students While Outside of Class
  2.4 Extra-Curricular and Intramural Activities.

- The physical environment is also important, so that aspect of Factor 2.2 Material and Physical Resources, is considered. The factors are of concern because the principal believes they constitute the environment of the school.

- The principal believes the students' programs must meet their needs in order for students to be happy and experience success, but "meeting their needs" is thought of as ensuring that students are in courses at the appropriate level and receiving special education assistance, if necessary. Therefore the principal is concerned about Factor 1.2 Objectives, insofar as the school offers the appropriate range of programs, but relies extensively on and trusts the department heads to deal substantively with all program-related factors.

- Factor 2.1 Human Resources, including timetable, staffing and general organization is important to the principal from the perspective that he/she wants staff to feel comfortable and secure and believes that people are happier if they know where they should be and what should be happening at all times (he/she is responding to perceived emotional and psychological needs of staff and students). However the principal usually appoints others to construct the organization, providing criteria and giving final approval.

- The principal feels ultimately responsible for all factors but focuses his/her energy on the factors of most personal concern and relies extensively on people with particular skills and expertise to attend to the details of all other factors.

.2 Nature of Expectations Held for Factors

- The expectations held by the principal for the factors of most concern to him/her are usually high but very general in nature. For example, the principal may have the expectation that staff co-operate with one another, but what such co-operation actually entails is not spelled out. As additional examples: the principal wants a staff with "heart", who are caring and honest and fair; the principal believes excellent teachers have intelligent enthusiasm, show respect for kids, and are good communicators. Student evaluation should be fair and logical; little things - the "details" - are important; the relationship with the community should be friendly, co-operative and supportive; program should meet official requirements and student needs. These types of expectations are all quite high, but very general, vague and ambiguous in the sense that they are open to quite different interpretations.

- The themes repeated in expectations for all factors are caring, respect, thoughtfulness, fairness, humaneness, warmth, honesty, dedication, organization, support, logic, common sense. All of these concern how people will feel about their school and the time they spend there.

- The principal may have difficulty articulating specific expectations for particular factors and say that he/she knows intuitively or has a feeling about what is needed.

- In some cases when the principal has a particular concern he/she may have very specific expectations, (e.g. in the area of Student Behavior While at School, especially if there have been problems), but even in these cases the expectations may not be systematic and comprehensive.

- The principal may not recognize that clarifying and defining expectations is required to facilitate progress toward his/her goals.

2.3 Source of Expectations

- Expectations are essentially the manifestation of personal beliefs and values and are spelled out in a general, but consistent fashion as situations demand.

3. Strategies

3.1 Criteria for Choosing Strategies

- The principal's philosophy about education results in the principal choosing strategies that will enable him/her to build the type of environment in the school which he/she believes to be the foundation of a good education.

- The principal's desire (and therefore criteria) is to make teachers' lives pleasant and comfortable and students' experiences pleasant and successful. Strategies are chosen to make teachers' lives easier and because of a belief that certain things are too important to be left to chance.

3.2 Emphasis among Strategies

- The principal's emphasis is on people and relationships, and strategies which involve interactions with people are very important. In fact, for many principals, strategies are much more important than goals or factors and may become ends in themselves. For instance, the principal places a great deal of importance on such categories of strategies as: 3.3.1 Building and Maintaining Interpersonal Relationships, including being positive, cheerful and encouraging, being available to staff and acting as a role model; 3.3.4 Facilitating Within-School Communication; 3.3.5 Facilitating School-Community Communications; and 3.8 Staff Supervision (especially of department heads).

- In contrast to this humanistic approach, the principal may use vested authority in making some categories of decisions (such as decisions about budget) or in influencing areas of great concern, e.g., failure rates or extra-curricular activities.

- The principal relies very heavily on developing and maintaining interpersonal relationships and in some situations may have no other strategies to use.

- Some principals, on the other hand, may have highly developed skills and sophisticated processes, especially if their school system provides and requires them (e.g., goal setting or staff evaluation), but still may use these processes or strategies only to facilitate achievement of their main goals and may remain substantively distant from the actual program, courses of study and particular educational goals. These principals tend to be reflective about the processes but remain aloof from areas outside their main focus.

3.3 Characteristics of Strategies

PART A: GENERAL PURPOSE STRATEGIES

3.3.1 Building and Maintaining Interpersonal Relationships, and Motivating Staff and Students

a. Involving staff

- wants staff to feel a sense of "we-ness" and belonging and therefore attempts to involve staff, especially department heads, in the school decision making.

- the principal likes a lot of involvement and may use committees to discuss issues and provide input.

- the department heads have a great deal of responsibility for, and hence involvement in some areas of the school's operation, such as program. The heads are expected to involve staff extensively at the department level.

- other aspects of the school operation, such as professional development, timetable and commencement may be delegated to people with particular expertise. These people are encouraged to seek staff input.

- the degree of staff involvement is frequently determined by the extent to which staff want to be involved. The principal would rarely force involvement against someone's wishes and tries to provide for involvement wherever staff wish to be involved.

b. Doing things with staff

- participates in a number of activities with staff to provide moral support, to minimize the distance between the principal and staff, and to provide opportunities to build friendly, supportive relationships. Activities may include hall and cafeteria supervision, professional development activities, extra-curricular activities, school functions and presentations.

c. Being positive, cheerful and encouraging with staff

- believes an important part of the role is to support and encourage teachers and this is done largely through the provision of praise to both staff and students, and through the provision of "perks" and rewards.
- believes it is important to be cheerful, positive and optimistic, to set the tone in the school.
- is often thinking of staff's personal needs and attending to them.
- visits classrooms/areas to observe or participate in a program and provide words of encouragement and support
- develops personal, individual strategies to provide support, encouragement and to keep the school a happy, cheerful place to be.
- is keen on school spirit and may encourage activities to promote this, such as assemblies and "fun days".
- encourages staff to feel positive about their personal growth but rarely takes action to require or facilitate staff setting personal goals except to encourage staff to take courses, attend workshops, etc. (unless the system requires it).

d. Being available to staff

- believes it is very important to be available to staff when they want him/her, drops into classrooms so that staff can speak to him/her if they want to and ensures the office door is open to staff.
- is visible to staff by walking through the halls, going to staff room, and being available at lunch, school activities, and before and after school
- the stance is largely reactive and few contacts are directly initiated by the principal, unless there is a concern to attend to.

e. Being honest, direct and sincere

- the principal believes in honesty and directness and frequently demonstrates the strength of his/her convictions by telling staff if they are out of line or doing something contrary to his/her goals.
- treats problems by means of a discussion in which the principal usually makes suggestions to deal with the problem.
- encourages staff to be honest and direct.
- is very reluctant to fire or transfer people unless they are really doing harm to students because it takes too much of a toll on people.
- tells people what he/she expects of them.
- attempts to be fair and determine all sides of a situation before acting.
- may let some situations endure because of a desire not to hurt people.

f. Acting as a role model

- believes it is important to provide a "good" example to staff and tries to model the behaviours he/she believes are necessary for a happy, productive school.
- some behaviours of the principal may be inconsistent with the model the principal wants to convey and the principal may or may not be aware of these.

3.3.2 Providing Staff with Knowledge and Skill

- responds to teachers' requests for assistance. This may include arranging for external resource people to visit the school, or facilitating staff assisting others within the school.
- staff may be encouraged to go to workshops and conferences or to take courses.
- occasionally part of a staff meeting may be used for some form of in-service.
- the principal expects department heads to suggest encouragement, arrange professional development for staff.
- in-school professional development days are frequently spent at the department rather than the school level.

- if the principal has a particular area of concern, such as special education some school-wide professional development may be carried out

3.3.3 Using Vested Authority

- uses vested authority in areas considered to be clearly the principal's responsibility. These may include hiring decisions and defining certain expectations of staff and students within the school.

- the principal typically uses vested authority to make decisions which he/she believes are very important and in which he/she does not want anything to go wrong, or in the "tough" decisions. Use of vested authority, therefore, may differ from person to person but represents this dominant orientation.

3.3.4 Facilitating Within-School Communication

- attempts to ensure good communication among staff by hiring people who are highly compatible.

- meets regularly with individuals and groups of staff for purposes of communication (especially with the vice-principal(s), the department heads and the staff as a whole). People are encouraged to submit agenda items.

- minutes of department heads' meetings are usually distributed to all staff.

- a school, staff or policy handbook may be used to communicate information about policies and procedures.

- the principal relies heavily on department heads to communicate with staff at the department level, especially about program, organization, timetable, staffing, etc., and wants heads to meet with their department staff on a regular basis.

- makes sure staff know what is expected of them, and if the principal wants particular processes used for planning, decision making, etc., he/she ensures that staff know what the processes are.

- wants open communication, sharing, and no secrets, and the principal models this to staff.

- people are encouraged to express and explore ideas.

- makes sure staff know about his/her values and priorities.

- encourages people to be involved so they are in contact with each other.
- shares with staff processes that will be used to make decisions, so they know how things will happen.

3.3.5 Facilitating Communication Between the School and the Community

- the report card is viewed by the principal as an important method of communicating with parents and the principal places emphasis on the importance of being aware of the messages conveyed by report cards.
- individual contacts with parents are an important means of attending to school-community relationships.
- newsletters are sent home on a regular basis.
- the principal believes it is very important to respond to community or individual parental requests and does so quickly.
- encourages staff to communicate good and bad news frequently to parents.
- in addition to these widely used strategies, principals usually have additional strategies that reflect personal preferences. These may include: inviting members of the community to special events in the school such as cultural activities and career days; hiring staff who are good at and value regular and frequent interactions with parents; using parent volunteers, using a parent handbook; and using parent questionnaires, having parent forums, etc.
- in general, the principal's actions tend to be reflective and designed to communicate to the community that the school really cares about the students and is doing a good job, that community support is valued and needed and that the school welcomes their input.
- the principal wants to know what the community wants and expects of the school.
- the principal wants community input but also makes it clear that the community and parents do not run the school.
- parents are involved in establishing the school's code of behaviour.
- the community has ready access to the principal.

3.3.6 Finding Non-teaching Time for Staff

- the principal makes an effort to ensure that all staff use the preparation time they are entitled to because he/she believes it is in their best interest. If a staff member wants to teach solidly, giving up their preparation time, the principal usually will not approve that.

- the principal expects the department head to influence how staff use non-teaching time.

3.3.7 Establishing Procedures for Handling Routine Matters

- clarifies expectations of staff regarding matters such as supply teachers, arrival and departure times, and other logistical issues which affect the operation of the school.

- has few established routines to ensure effective management of his/her own time and tends to deal with issues as they arise.

- delegates particular tasks to people with skills and expertise, especially the vice-principal(s) and department heads.

- may claim to manage "by the seat of the pants" or to not know why things function so smoothly.

- expects that as professionals people know what to do.

PART B: FACTOR-SPECIFIC STRATEGIES

3.3.8 Goal Setting, Planning and Program Development

School Goals

- the principal may not systematically set school goals unless required to do so by the system.

- the principal's main concern is establishing goals that "fit" the school. Staff are therefore usually involved in determing the goals and making them work.

- the principal presents staff with information from the system if relevant or required.

- frequently, school goals are determined by the school administration team with the department heads and presented to staff for their reaction.

- committees of volunteers may be formed, to work on major goals.

- the principal's personal values may influence the nature of the school goals, or at least determine the ones the principal is personally involved with.

- the quality of the school goals and the goal-setting process may depend to a large extent on the nature of the system's requirements and processes.

- the principal may not handle goal setting very well, finding it difficult to make it relevant and meaningful even though there is a desire to do so, or the principal may be sophisticated in terms of the process but not care particularly about the substance of the goals, perhaps allowing them to reflect only staff preferences and desires and not be very reflective of the Ministry of Education's Goals of Education, except by coincidence.

- there may be little systematic follow-up to goals set, except to have committees work on them. Progress may only be reviewed annually unless the principal has a real "process" orientation.

- the principal may establish personal goals which relate to his/her priorities in the school; the principal may see these in part as the school's goals. Where this is the case, some specific plans may be developed by the principal for achieving the goals. Criteria used by the principal in establishing these goals and plans include:
  - consistency with the principal's philosophy
  - a desire to meet the needs of the staff
  - achievable by the principal
  - realistic in terms of the time the principal perceives to be available to work on the goals.

- the importance the principal attaches to goals may vary depending on the importance the system attaches to the goals.

Program Goals

- the principal's concerns about program plans centre around ensuring that basic program requirements established by the Ministry of Education and the school system are being met and that programs will be suitable and interesting to the students so that they will enjoy school. This is seen as the department head's responsibility.

- in terms of program the principal is concerned about ensuring adequate courses at different levels of difficulty (e.g. advanced, general, basic) and in special education, and will work with departments to ensure they have such programs.

- if the vice-principal is particularly skilled in the area of program, the principal may rely on him/her to ensure that courses are developed as required, are sound, and are courses the school can be proud of. Otherwise the principal trusts the department heads to do it.

- the principal would generally rather be dealing with people than reading courses of study.

- if the system requires it and/or the principal is process-oriented, he/she will require that departments set program goals that are consistent with the school's goals. The principal usually reacts to department goals, and may monitor the departments' progress on an annual basis (or more frequently, if the principal is strongly process-oriented).

- if staff request assistance with planning or experience serious difficulties, the principal will arrange for assistance to be provided.

- if staff request time for program planning during professional activity days, the principal will try to accommodate their request.

3.3.9 Program Implementation

- the principal is aware of the school system's priorities for program implementation and ensures that staff are also aware of them. The principal wants the school's programs to be current (e.g. up to date on computers) but sees the doing of that as the staff's responsibility.

- the principal sees the department heads as entirely responsible for program implementation and may ask a vice-principal to work with them if the vice-principal has particular expertise in this area.

- the principal's only involvement is to encourage and assist department heads to look at and anticipate the consequences of program implementation both within their departments and across the school.

- the principal gives the department heads and staff lots of freedom to innovate, create and take initiative, and is very supportive of their efforts to do so.

- the principal sees his/her role as providing encouragement and support, and to provide advice to what is seen as the departments' decisions.

- the principal arranges for assistance from out-of-school resource staff to facilitate the implementation of programs in school, if requested to do so.

3.3.10 Program Monitoring

- the principal recognizes that one of his/her ultimate responsibilities is to monitor programs. However, formal or systematic procedures are not used in carrying out this responsibility, unless the system requires it.

- in the principal's opinion, program is the responsibility of the department heads and staff who are professionals and can be trusted to develop, implement and evaluate programs as required. However the principal does informally monitor programs when visiting classrooms, carrying out staff supervision, reading marks statistics (failure rates, medians) talking to staff, looking at department plans, and monitoring the request for and use of resources in the school.

- the principal rarely, if ever, reads courses of study and monitoring, when it does occur, is at a subjective, intuitive level.

- the principal has faith that the department heads are attending to this adequately, and requests that they keep him/her informed of program matters.

- the principal tends to rely on the school system to monitor programs where system level procedures for program monitoring exist, and to discuss results with department heads if problems exist.

3.3.11 Providing Support Resources

- the principal places high priority on meeting the needs of staff and therefore strives to provide the material resources needed by staff.

- the principal frequently handles the budget him/herself, based upon input and requests from staff, especially department heads. Some principals may involve the heads more extensively but still make the final decisions and give approval.

- on major capital items the principal allows staff to indicate their priorities and goes along with them.

- the principal passes on information about resources to staff.

- the principal has no formal criteria for establishing priorities and needs and requests for resources except perceptions about severity of needs and fairness. He/she may rely on staff's willingness to co-operate and "give-and-take"

- the principal responds to staff requests for the human resources they need or would like to have by making the necessary contacts and arrangements, providing time for staff, etc.

- occasionally the principal takes steps to anticipate staff needs and arrange for the assistance required.

- the principal may use budget to reward and/or motivate staff.

- the principal is very reflective about how budget is handled and is always looking for a better way to ensure fairness and the best use of resources.

- the principal uses creative ways to obtain additional money to use because he/she wants people to feel good about the school, and believes in spending money to keep the school looking nice.

- the principal stresses to students and staff the importance of good relationships between school and community and encourages them to be aware of the image they create by their behaviour in the community so the community is willing to support the school.

- the principal may encourage staff and students to develop programs which can in some way, involve the community.

- the principal strives to ensure that both students and staff know the community, its resources, history and activities.

- the principal attempts to make the community aware of school activities by advertising them, for example, in local shops and public notice areas.

3.3.12 Staff Supervision and Evaluation

- the principal recognizes that staff supervision and evaluation is a responsibility of the principal and vice-principal(s), and uses the system's procedures for doing so. The principal usually evaluates department heads, new teachers and staff who are experiencing difficulty. This is based on a belief that the principal cannot really have much impact at the classroom level. Therefore, staff supervision and evaluation is not used directly to improve instruction. It is used indirectly in the sense that when evaluating department heads, the principal is very concerned that the heads exercise leadership in their departments and act as role models for their teachers.

- the quality of staff supervision and evaluation may depend to a large degree on the quality of the system's procedures and the extent to which the principal is concerned about process.

- the principal may add criteria to the system's or the staff's depending on school goals, personal priorities and perceived school needs.

- the principal's major weaknesses are in systematic application of criteria and in collecting adequate and appropriate data related to those criteria.

- with respect to communication of evaluation procedures, the principal ensures that the staff member being supervised understands and agrees with what the principal will be looking at during the supervision, as well as the methods the principal will be using.

- the principal provides staff with feedback resulting from the supervision in both written and oral forms. Feedback tends to focus almost entirely on strengths. In terms of planning for improvement, the principal may have difficulty expressing concerns about weakness and areas needing improvement. The principal may suggest some steps that can be taken to provide the staff member with assistance in areas of need and offer to help in any way he/she can.

- the principal alludes to personal problems which may be affecting a staff member's ability to meet his/her responsibilities. The principal may be either very willing to listen to problems or consider it totally inappropriate to become involved and suggest the staff member seek assistance from someone else.

3.3.13 Direct Relationship With Students

The principal:

- models the types of behaviour he/she expects of students - respect, consideration, friendliness, etc. - in interactions with students and in other situations which are visible to the students.

- very occasionally, a situation may occur in which the principal is inconsistent in modelling the behaviours desired.

- may be unaware of the model of the learner he/she conveys through behaviour visible to the student and may be conveying a model inconsistent with the model held by staff, Ministry of Education, and school system.

- believes in providing "perks" for students to help them enjoy school and want to be there.

- tries to be readily available to students on an informal basis and to encourage them to drop in to his/her office.

- communicates to the students in the halls, cafeteria, at sports events, school activities, and more formally through assemblies.

- uses opportunities provided by informal and formal interactions with the students to promote the values he/she believes in, and to reinforce their importance in school and in life generally.

- informally monitors students' attitudes toward the school, their teachers, their programs, etc. This may include occasionally asking students how they feel about these matters, monitoring the level of vandalism, fighting, discipline problems and other similar indirect measures of students' attitudes. When problems arise the principal attempts to find a solution.

- The principal's approach to discipline is frequently based on a desire to help students and provide some counselling to students who get into difficulty in an attempt to deal with causes, not just symptoms. A scale of punishments may be used which depends on the severity of the offence, the number of previous offences, etc to make students accept responsibility for their actions. In addition:
    - criteria are based on the idea of accepting the responsibility for and consequences of behaviour, to be fair to others affected by the behaviour
    - discipline criteria, procedures and consequences are communicated to students, staff, and parents, all of whom would have representatives involved in establishing the school's code of behaviour.
    - there may be differences occasionally in interpretation of criteria and consequences among staff and parents.
    - the principal attempts to apply discipline criteria and consequences fairly and consistently, using common sense.
    - the principal is very concerned about helping students to deal with or avoid alcohol abuse or other problems he/she feels are harmful.
    - the home-room is used extensively to communicate with students.

4. Decision Making

4.1 Forms and Procedures for Decision Making

4.1.1 Forms

- the principal relies extensively on four forms of decision making. For many day-to-day decisions the principal and vice-principal(s) meet regularly and as a team make decisions. For decisions concerning the policies of the school, and the overall school organization and routines, the administrative team working with the department heads, as a group, make many decisions. Some categories of decisions such as program and perhaps timetable are delegated to the department heads or the vice-principal(s) and the principal only gives input and asks to be kept informed. The principal will only become involved in these areas if there is a problem, or a "tough" decision. Finally the principal may make some decisions him/herself (with input from others) such as on budget, for example.

- the principal does not always chair department head meetings.

- the principal likes to give others responsibility yet realizes that he/she is ultimately responsible. A lot of delegation occurs and the principal has faith in the professionals to make good decisions.

- rarely is a decision made by the staff as a whole although their input will be sought in many decisions, and different formats may be used to obtain their input, depending on the issue.

- the principal is usually willing to go with a majority decision and occasionally will seek consensus on very significant decisions.

- the principal stresses to staff the importance of good relationships, a harmonious staff and a happy school. The intent is that they keep this in mind during department decision making.

4.1.2 Procedures

- the principal may not fully understand the decision making process and hence not feel comfortable exercising flexibility and variation in the difficult steps. The exception is the principal who is very process-oriented and has a flare for this type of thing, although may still be weak in the area of defining criteria.

- the principal is concerned that staff be satisfied with both the decisions made in the school and the forms of decision making used. Therefore the principal:
  - checks with staff to see what decisions they want to participate in
  - makes the decisions staff want him/her to make

  - obtains staff suggestions, preferences and opinions when making most decisions
  - attempts to ensure staff understanding when they are being asked to participate in the decision and when they are just being asked for information
  - stresses the importance of supporting a decision made by the majority, once it has been made
  - stresses the importance of offering one's views
  - stresses negotiation

- the principal often but not always acknowledges differences in points of view among staff and may seek a point of similarity between the two as a way to resolve the difference. The difference may be left unresolved and the majority's decision accepted.

- the principal urges departments to attend to these issues and may influence department decision making by suggesting procedures to use.

4.2 Attitude and Stance Toward Decision Making

- The principal's stance in decision making varies depending on the issues. In regard to the limited factors of most concern the principal is somewhat proactive, setting some expectations, doing some development, anticipating decisions and problems and preparing for them. In regard to factors of less concern, however, the principal is almost completely reactive, dealing with issues only as they arise and demand attention or are brought to his/her attention by those made responsible. This is especially the case for factors the principal leaves under the control and discretion of the staff.

- The principal strives to ensure that the decisions which will affect the attributes and working conditions for staff and students are made so as to maintain or create a good school climate, realizing people feel more secure if they feel prepared. The principal consistently works at these decisions.

- The principal is very receptive to changes he/she believes would improve or maintain the climate in the school.

4.3 Monitoring Decision Making

- The principal regularly checks to ensure that staff, especially department heads, are satisfied with the decisions made in the school, and the forms and procedures for decision making being used. The principal values the vice-principal(s) opinions in this regard.

- The principal monitors staff involvement to make sure people are comfortable with; he/she almost always would like more involvement.

- The principal monitors department level decision making by reading department meeting minutes and when doing staff evaluation with department heads.

- The principal checks on department decision making if there is a problem or to ensure him/herself that everything is satisfactory.

- If departments have problems with their decision making, the principal may become directly involved either to model the decision making he/she believes in or to suggest solutions to their problems based on his/her model of decision making.

4.4 Defining Decisions and Clarifying Problems

- The principal tends to view decisions and problems in the context of interpersonal factors (the relationships and climate in the school). Decisions are defined and the problems clarified in such a way that they will contribute to the achievement of the type of climate and relationships the principal desires in the school. School goals are not explicitly considered except in decisions directly related to such goals and therefore some decisions may actually go in directions different from stated school goals.

- The principal does not directly intervene in the way departments define decisions and clarify problems, unless there is some difficulty. However departments are aware of the principal's priorities, values, and expectations.

4.5 Criteria Used in Decision Making

- The principal derives the criteria to be used in making decisions in the school from his/her valuing of a good environment and the characteristics of a good environment he/she believes are essential to providing a good education for students. Criteria might include:

    - friendly co-operation and harmony
    - value to students
    - effects on other parts of the school and staff
    - what is for the good of staff
    - impact on staff
    - what will make people happy
    - staff preferences, futures, emotions
    - desire to please other people

  - compassion, empathy, sensitivity, caring
  - fairness
  - occasionally politics
  - community expectations
  - the need to meet official requirements.

- Since these criteria do not apply equally directly to all the decisions in the school, the principal is sometimes uncertain about the criteria to be used and may leave criteria unstated and use some other set of subjective unarticulated criteria.

- In contrast to these criteria, sometimes hard cold "numbers" become the criterion.

- Beyond stressing the importance of a good school environment, the principal does little to influence the criteria used in department decision making unless a problem arises.

4.6 Use of Information in Decision Making

- The principal seeks staff input and suggestions (especially from department heads and vice-principals) concerning many of the decisions he/she is actively involved in (e.g., staffing, budget) and sees this as an important type of information to use when making decisions.

- Also considered relevant by the principal is information about morale, relationships relevant to the climate of the school such as student morale, relationships with parents and the community, relationships with out-of-school staff. Information of a program nature or about curriculum development, implementation and evaluation is seldom considered, except for official requirements. When it is, it is very general. Some literature about school climate may occasionally be considered if the principal is aware of it.

- The principal attempts to visit classrooms and department on an informal basis. This is in order to be well informed about the status of relationships and the school environment, including teachers' comfort. Other information, such as data about trends over a period of years in areas such as students' choice of options and the subsequent rate of change in different courses may be sought if required by a particular decision.

- Although the principal values objective information in decision making, a dominant source of information is subjective, that is, the principal relies heavily on intuition, feelings and common sense when making decisions.

- The principal responds to staff requests for information to faciliate decision making at the department and individual level. In addition, the principal passes on information he/she judges to be of interest to staff.

- The principal may occasionally ask staff to indicate the information they have used to make particular decisions, especially if there is a problem.

LEVEL THREE

1. Goals

1.1 Nature of the Goals

- The principal has a philosophy of education which forms the basis for his/her principles of sound programming and worthwhile educational experiences. The principal has an image of an educated person which is consistent with that espoused by the Ministry or Department of Education in many ways, but is not as comprehensive. Some components of the ministry's or department's image are not addressed by the principal's.

- The principal's main goal is to be of maximum assistance to staff in helping them provide good programs and experiences to meet the needs of students. The principal sees him/herself primarily in the role of assisting staff to assist students. He/she has a view of the types of needs students have, the types of goals students should have an opportunity to achieve, and the types of programs and experiences needed to achieve these goals. These principals typically state their main goal in terms such as "I want to have the best program for the kids, that will be achieved by having staff involved in making decisions, designing a program that will meet their needs. Everything else is to facilitate, to get the program in place so it can be successful".

- The principal believes he/she is the instructional or curriculum leader, that program is of primary importance and, if the programs meet the needs of students, many other problems will be non-existent.

- The goals the principal holds for students represent some sub-set of the goals of education provided by the Ministry or Department of Education, but not all of them. The principal typically has a focus within the goals which may result in some goals receiving little or no attention. Examples of goals held for students include:
    - skills in communication, math, problem solving
    - good attitude about learning
    - a sense of community and the ability to work with others
    - respect for the rights of others
    - valuing punctuality, attendance, effort
    - the knowledge and skills needed for university or work

- The principal perceives his/her image of an educated person to be very consistent over time. Ways of increasing the extent to which his/her school can realize the image are welcomed and carefully considered by the principal.

1.2 Source of Goals

- The source of the principal's goals is his/her sense of the school's responsibility to meet the needs of the students in the school and what can and should be done to address these needs.

1.3 Uses of Goals

- The principal clearly states his/her goals and shares these goals with staff, clarifying what he/she perceives to be his/her role in providing good programs and experiences for students.

- The principal is unambiguous in indicating to staff his/her perception of student needs and also his/her principles for good programs and sound educational experiences. These are the focus for all decisions, activities, planning and evaluation.

- The principal willingly describes his/her goals to students, parents, members of the community and senior administration when requested or when the need arises.

2. Factors

2.1 Factors of Most Concern

- The principal is concerned about the programs experienced by students. This focuses his/her attention on factors:

  1.1 The Teacher
  1.2 Objectives and Emphasis
  1.3 Instructional Behaviours of the Teacher
  1.4 Materials and Resources
  1.5 Assessment, Recording and Reporting Procedures
  1.6 Time/classroom management
  1.7 Content
  1.8 Interpersonal Relationships in the Classroom
  1.10 Integration (including a focus on school-wide curriculum projects such as language and learning, non-traditional careers, program packages, etc.).
  2.1 Human Resources (including timetable designed to meet student needs, staffing, numbers of sections)
  2.4 Extra-curricular Activities
  2.6 Relationships among Staff (especially as they affect program)
  2.7 Student Behaviour While at School

- The principal is very concerned about influencing these factors to improve the quality of program so it better meets the needs of students, and realizes that to influence these factors he/she must work with the staff to influence their attitudes, knowledge and skills, to change the factors that constitute the program.

- Within the set of factors typically of most concern, the principal tends to be especially concerned about students with exceptionalities: students having difficulties, the gifted, the special education student.

2.2 Nature of Expectations Held for factors

- For the factors of most concern, the principal has quite specific expectations although the set of expectations held is not comprehensive as compared with the expectations of the level 4 principal. Gaps in expectations may be the result of the fact that the goals of education that the principal focuses on are only a sub-set of the full set of goals.

- The principal's expectations are detailed and sound because they are based on sound program knowledge. They tend to be very student-centred. That is, they specify what needs to happen within program factors so that the program meets the needs of the students. The principal believes an important aspect of his/her role is setting expectations and feels this is when the principal can be effective, in working with staff to deliver quality programs. Examples of expectations are:

1.2 Objectives and Emphasis

- wants the individual courses of study and the school's total program offering to cover the full range of objectives required to meet student needs. This means objectives at different levels of difficulty (e.g. basic, general, advanced, special education for Learning Disabled, Behavioural and Gifted) and a wide variety of objectives in all areas, especially including skills and some attitudinal objectives.

1.8 Interpersonal Relationships in the Classroom

- wants teachers who: are friendly; respect students and show that respect in valuing their presence, their input, their needs, their abilities and in responding to these; have a sense of humour; and are relaxed but in control.
- wants teachers who have very clear guidelines for acceptable student behaviour and enforce these in a fair, humane and consistent manner.

  - believes these conditions are necessary to provide the conditions required to motivate students to learn, and to provide quality program experiences for students.

- The principal can be very detailed about expectations for any factor of concern and has a rationale for all expectations held.

- The principal has expectations for all factors but some are judged to be less important, and he/she therefore has fewer or less specific expectations for those factors. In some cases responsibility for particular factors, such as 2.3 Relationships with the Community, may be delegated to a vice-principal or other person and the principal expects that person to have detailed specific expectations related to the school's perceived purpose and goals.

2.3 Source of Expectations

- The principal establishes expectations on the basis of his/her belief and knowledge about what is required to provide good programs and good educational experience to meet the needs of the students. In some cases the principal draws on research in establishing expectations but relies to a great extent on personal experiences, experience with what he/she judges to be excellent teachers, input from resource staff, curriculum guidelines and materials, and experts in the field of program and instruction.

3. Strategies

3.1 Criteria for Choosing Strategies

- The principal's desire to provide the best programs possible for students becomes the criterion used to identify strategies, that is, the principal uses strategies he/she believes will have an impact on the quality of programs offered to students.

- The principal recognizes that trust is necessary to be able to function effectively and works to establish good relationships with staff based on honesty and openness.

- The principal's sense of responsibility results in the principalship being a very busy job. The principal strives to be very organized and to make the best use of the time available by being businesslike and professional, yet compassionate and caring. Procedures are used to manage time and routine matters.

3.2 Emphasis among Strategies

- The principal relies primarily on a well-established and tested set of strategies to influence the goals pursued in the school, factors of concern, the progress toward the expectations he/she holds for factors, and certain aspects of decision making within the school. Examples of strategies especially valued by the principal include: 3.3.1 Building and Maintaining Interpersonal Relationships, especially (a) Involving Staff; 3.3.2 Providing Knowledge and Skill (i.e. P.D.); 3.3.4 Facilitating Communication Among Staff (especially between the special education and regular staff); 3.3.7 Establishing Procedures for Routine Matters; 3.3.10 Program Monitoring; and 3.3.12 Staff Supervision.

- The principal makes a concerted effort to pay attention to the good things that are happening in the school, as well as the problems.

- Strategies are viewed as means by the principal, not as ends in themselves. The principal conscientiously tries to be cost-effective in the use of strategies and will also use several strategies to focus on a given priority.

3.3 Characteristics of Strategies

PART A: GENERAL PURPOSE STRATEGIES

3.3.1 Building and Maintaining Interpersonal Relationships, and Motivating Staff and Students

a. Involving Staff

- has a desire to involve staff in decisions and functions within the school and consciously considers staff involvement when planning for decisions, etc.

- involves staff in specific decisions and functions based on his/her judgement of the appropriateness of the involvement.

- involvement may vary from giving input to actually making some decisions.

- forms of involvement may include voluntary participation, staff committees, meetings for special purposes.

- the principal values staff involvement because he/she believes staff must be involved to know what is expected, and to have a sense of ownership for and commitment to the school's goals and programs.

- the principal is always thinking of ways to involve staff and how they can be best involved. This can be a challenge in very large schools, but the principal finds and develops unique processes to manage staff involvement.

- although the principal tends to use staff committees to involve staff, he/she maintains a high degree of control and frequently makes the final decisions with input, advice and recommendation from the committees.

b. Doing things with staff

- participates in a variety of activities with staff in order to develop a sense of his/her commitment to helping staff and in order to get to know staff. For example, principals may be part of the supervision schedules, assist staff with planning, attend workshops and have informal chats with staff over coffee.

c. Being positive, cheerful and encouraging with staff

- takes a problem-solving orientation to situations which help staff develop the belief that problems can be solved.

- is enthusiastic and encouraging about new programs with staff.

- uses teacher supervision as a means of giving recognition to teachers.

- helps staff to choose specific goals so they are not overwhelmed.

- encourages and supports professional development and sharing/co-operation so people do not feel they are working alone.

- writes letters and notes to encourage, praise and thank staff.

- uses unique strategies to show staff that he/she is appreciated and supportive.

d. Being available to staff

- principal structures many opportunities for interaction with staff (visits staff room when staff are there, eats lunch with staff, circulates through the school, drops into classrooms, keeps office door open).

- responds to needs of staff to meet with him/her.

- occasionally sets up interviews with staff.

- believes it is of the utmost importance to be available to staff when they need him/her to answer questions, deal with problems, discuss concerns, etc., in order to prevent staff frustration and the program suffering as a result.

e. Being honest, direct and sincere with staff

- the principal speaks directly to staff about problems and tries to:
  - ensure staff of his/her willingness to help
  - choose appropriate times for discussion
  - use information which is based on more than subjective opinion
  - end discussions with the identification of some steps to take
  - explore other sides of the issue
  - be open, and straightforward.

- the principal is direct and honest with staff about his/her expectations of them and believes this is very important.

- while communicating expectations clearly, the principal also shows staff he/she is concerned about them.

- the principal treats all staff the same.

- the principal will do some personal counselling with staff, if necessary.

- the principal speaks directly to staff about behaviour considered to be inappropriate (e.g. lateness, dress, interactions with students showing lack of respect etc.).

f. Acting as a role model for staff

- the principal consciously attempts to model the behaviours he/she expects of staff for example, enthusiasm, maturity, respect, commitment to program and students, and fairness.

3.3.2 Providing Staff with Knowledge and Skills

The principal:

- attempts to identify staff needs for professional development through staff supervision process, needs assessment of some type in the school, division/department expressions of need and informal contacts with staff.

- assists staff in making arrangements for professional development.

- helps staff individually.

- sometimes makes assumptions about staff needs and brings system's resource staff to the school to provide various forms of assistance.

- may strongly promote professional development in an area which he/she believes would greatly assist staff to meet the needs of students.

- recognizes that staff may be at different stages in their development and require different P.D.

- sets the norm that P.D. is valuable and everyone is expected to be involved in some type of Professional Development.

- believes that ultimately all P.D. is aimed at better meeting student's needs, so all P.D. is aimed at school goals, particular Factors and even particular expectations within Factors.

- frequently includes a P.D. component in staff meetings or may call special staff meetings for P.D.

3.3.3 Using Vested Authority

The principal:

- uses vested authority to ensure that staff do something that is important to him/her (e.g., planning, their behavior, not using out-of-date materials).

- makes some decisions independently either because he/she thinks that is appropriate, or for reasons which may not be completely apparent. Such areas of decision typically include school organization, budget allocation, some school goals and some professional development for staff.

3.3.4 Facilitating Within School Communication

- the principal believes open, frequent, meaningful communication in the school is essential to the success of the program. The principal wants staff to be well-informed and especially wants good communication between the special education staff and the regular staff, and expects and facilitates this.

- staff, Department Head and Department meetings are all considered to be very important to good school communications. Agendas are carefully planned ahead of time so staff can be prepared for meetings, minutes are taken and circulated to all those with some interest in the meetings (e.g. staff receive Department head meeting minutes, the principal and vice-principal(s) receive department meeting minutes. The sequence of these meetings is carefully planned to facilitate optimal communication.

- the principal meets frequently with department heads so they are well-informed and explicitly expects them to keep their staff well-informed.

- other actions used to facilitate within-school communication include, for example:
  - sending directly to staff information that does not require discussion or immediate action (using memos, etc.), or sending such information to clarify issues
  - using committees concerned with some aspects of the school's decisions to make reports at staff meetings
  - encourating staff to communicate fully and effectively within departments
  - using notice boards
  - developing methods for staff to share information about students
  - calling meetings to discuss special issues (e.g., skills development or program integration).
  - developing and maintaining a staff handbook outlining school goals, expectations, policies, procedures and philosophy
  - using representatives to communicate about issues too complex to deal with, with the staff as a whole
  - using specific processes and exercises for feedback, input, etc.

3.3.5 Facilitating Communication Between the School and Community

- the principal may not feel that communication with the community is as important as program, but nevertheless knows it is important and wants an open, supportive relationship, and seeks to have a friendly, firm business-like approach.

- the principal believes the most important things to communicate about are students - their progress and difficulties - programs, and school activities. Therefore parents are frequently informed, consulted and sometimes counselled about students' program options and choices, progress and behaviour.

- the principal is also aware of the school's image and is always working to ensure that it is positive.

- the principal wants to be sure the community is well-informed about the school and what happens there.

- the principal strives to ensure that staff communicate regularly with parents so that parents are not "taken by surprise" by anything that goes on at the school.

The principal may establish expectations for teachers' interactions, e.g., requiring teachers to keep records of interviews and following through on suggestions.

- strategies used to communicate with community may include:
  - open house
  - use of local newspapers, cable T.V. and radio
  - newsletters
  - special education meetings
  - musicals, plays, concerts etc. at the school
  - parent interviews
  - parents' night
  - direct phone calls, letters and interviews
  - recorded phone messages when parents call the school and are on "hold", about school events
  - happy, successful students who like school
  - parental involvement in developing the school's code of behaviour
  - parental advisory group
  - interim reports on student progress.

3.3.6 Finding Non-Teaching Time for Staff

- the principal believes it is important for staff to have some non-teaching time.

- the principal expects staff to use some of that time to work on some aspects of their program and may occasionally check to see if this is occurring.

3.3.7 Establishing Procedures for Handling Routine Matters

- the principal typically believes that in running a school you must have expectations and be well organized - a staff handbook, student handbook, objectives - all have to be in place and then you can function in that framework, because people know where they are going.

- the principal likes good, efficient procedures and structure, and has good procedures for planning, communicating, opening day of school etc.

- the principal may delegate or assign such administrative tasks as building the timetable or dealing with student option sheets, but provides the framework for the task and usually the criteria to be used in decision making.

- the principal ensures that the office staff are well organized, use efficient procedures and have clear expectations.

- the principal develops or adopts procedures to handle information (such as exam statistics, lates, attendance information, etc.) and for many recurring tasks.
- the principal takes steps to ensure that staff understand routines and procedures used in the school and likes all staff to take some initiative and responsibility for developing and maintaining a well-organized efficient school.
- the principal's aim in developing and using good procedures and in being well organized is to enable maximum energy and attention to be focused on program concerns and meeting student needs.

PART B: FACTOR-SPECIFIC STRATEGIES

3.3.8 Goal Setting, Planning and Program Development

School Goals

- the principal ensures that school level goals are set. Such goals may vary in specificity, depending on the goal, but are nevertheless an important part of the school and principal's organization, because the principal believes both the goals and the process of goal setting are very useful.
- the principal may involve staff in determining such goals or may work with department heads to develop goals, present them to staff and receive their reaction.
- the goals provide the direction for the school and reflect major system and Ministry of Education directions and priorities and school needs. Occasionally the principal will mandate a school goal if it is perceived to be very important.
- committees of staff members are frequently established to work on major goals and they report to the principal who has a vision of what they will do and keep them focused on that, providing a school-wide perspective.
- School policies are developed as one outcome of many important goals (e.g. a policy on student evaluation, for the school.
- examples of school goals that principals believe are important include: developing a good co-op education program, working on language and learning across the curriculum, fully implementing special education, developing non-traditional career programming. Most, if not all, goals deal with programs for students and frequently have an across-the-school or across-the-curriculum focus.

- the principal's procedure for establishing goals and plans for their achievement requires that:
    - the goals relate to perceived needs in the school
    - the goals be realistic
    - the timeline be realistic
    - some type of action to achieve the goals be decided upon (even if that is just to assign the goal to someone)
    - the goals be clearly stated and communicated to staff
    - responsibilities for all actions be assigned.

- Progress with school goals is monitored and assessed in some fashion, ranging from a reasonably formal assessment to informal judgements about progress. Progress is monitored more than just at the end of the year.

- The principal works to make school goals an important part of the school and takes opportunities to use the goals as a focus of attention for activity in the school. School goals can become the basis of criteria used in decision making.

Program Goals

- the principal requires that departments set goals and develop program plans for the year. These goals must reflect the school and system goals, be focused on meeting school needs, and take into consideration other departments in the school.

- the principal gives input to these goals, meets with the department head to approve the goals and to monitor progress in achieving goals.

- the principal ensures that departments are developing programs to stay up-to-date and meet the needs of the students (e.g. co-op education, non-traditional career packages, etc.)

- the principal wants courses of study kept up-to-date and revised annually and checks to ensure that they are.

- the principal's main concern with courses of study is the student and he/she asks "What are we trying to do with a student in that course?, Will this course do that?, How can it be improved?" The principal wants a wide range of objectives, including skills, attitudes, knowledge and integration with other disciplines. The principal works with department heads to continually improve courses in this direction.

- the principal wants courses to reflect Ministry of Education and system requirements and checks to ensure they do.

- the principal provides staff with information relevant to course development and revision.

- the principal encourages staff to plan programs in groups.

- the principal wants staff to receive feedback about their course plans and provides or makes provision for feedback.

- if planning is made a school priority, special time is set aside for planning, and program development. Otherwise, the principal just encourages planning and if requested will facilitate the arrangement of time and other resources.

3.3.9 Program Implementation

- the principal requires that priorities and plans for program implementation be set each year, for the school as a whole and/or for departments. These priorities and plans must take into consideration special education. They are considered to be part of the total school plan to achieve its goals and have clear expectations.

- the principal holds the department heads responsible for program implementation. His/her priorities and expectations for program implementation are dealt with at department head meetings.

- in order that he/she is involved in program decisions, the principal requires department heads: to meet with their staff about program implementation; to develop plans with clear expectations; to monitor progress; to appoint course chairpersons if necessary to achieve consistency across multiple-section courses; to share plans with the principal; and to meet with the principal on a regular basis to review progress with implementation.

- the principal, in addition:
  - keeps initiatives in high profile in the school
  - establishes across-the-curriculum committees for particular goals (e.g. Language Across the Curriculum) and requires the committees to have plans, strategies, ways of monitoring progress, etc.
  - gears professional development toward implementation priorities and needs
  - monitors implementation and trouble-shoots as needed
  - insists that department heads teach courses at all levels and grades so as to be able to assist staff who are implementing courses at all levels and grades.
  - encourages staff to participate in program activities at the system level (e.g. subject councils)
  - is personally knowledgeable about program and commmunicates that to staff

- wants departments working as teams in implementation
- prefers to try new things on a trial basis, field-test and revise
- uses system level resources, such as program evaluation data, subject council input resources, etc., to facilitate implementation
- relates budget decisions to school goals and implementation priorities
- is concerned about the continuity between elementary and secondary school.

- the principal ensures that staff are aware of plans for the implementation of programs within the school.

- the principal stresses the importance of meeting the needs of students with special problems and may initiate actions to ensure that adequate attention is given to these students when programs are being implemented. These may include grade/divisional/departmental meetings focused on students with special needs and their program requirements.

3.3.10 Program Monitoring

- the principal recognizes that program development implementation has to be monitored to ensure that good programs are being implemented.

- the principal expects department heads to monitor teachers' courses and ensure that all courses are revised and updated each year. The principal checks to ensure this happens and either personally reads up-dated courses of study or has a vice-principal do it, with particular criteria. Further revisions can be required if necessary.

- the principal expects the department heads to have a plan for monitoring and revising programs in their departments.

- if the system has a program monitoring procedure the principal supports it and utilizes the findings and recommendations relevant to the programs in his/her school, with the department heads.

- strategies used by the principal to monitor programs involve:
  - reading department meeting minutes
  - popping into classes informally
  - reading courses-of-study
  - monitoring student achievement which can include: using median sheets prepared by department heads to discuss with the principal before marks are submitted to the computer; lists of failures and reasons for failures; monitoring general level class achievement; standardized test results; requiring department heads to approve teachers' marks before they are submitted; reviewing individual students' progress.

- when problems in student achievement are found the principal meets with the department heads to examine reasons and looks to course objectives, what teachers are doing, whether or not students are at the appropriate level, what special education has done or can do, etc. The principal then expects department heads to meet with their staff.

- the principal monitors core programs very closely, especially at the general level and responds to problems immediately.

- the principal may establish a formal procedure for monitoring program implementation for a particular program or program area that has been made a school priority or goal;

3.3.11 Providing Support Resources

- the principal strives to make available to staff the material and equipment necessary to implement school programs by:
  - maintaining control over the budget
  - requesting identification of materials and equipment needed by each department/division, and the school as a whole
  - developing a means of establishing priorities for resources based on school goals and directions
  - requiring the maintenance of procedures to facilitate the efficient use and sharing of equipment and materials
  - bringing information about new materials and equipment to the attention of staff
  - ensuring that the condition of existing resources is regularly reviewed and that these resources are maintained or replaced as warranted.

- the principal maintains a school-wide perspective on resources, and finances programs he/she thinks are important, including the resource centre in the school.

- the principal would like a committee of staff to participate in the budgeting process, but will only do that if staff have a commitment to a total school focus, and have the skills needed.

- the principal strives to make available to staff the human support services needed to facilitate program implementation. These might include: system resource staff, in-school resource staff, audio-visual specialists, each other, the principal, secretaries (to prepare materials, etc), and psychometrist.

- actions include:
  - encouraging co-operation where assistance is required

  - making arrangements for assistance to be provided from system resource staff
  - appointing staff as in-school resource staff and making provisions for their training, and assessment.

- the principal works with students and staff to develop within the community a favourable attitude toward the school program. The principal, aiming to generate community support, encourages programs where:
  - students become involved in the community through such activities as fund raising, educational displays, athletic competition and support for elderly and the disabled
  - staff develop school curricula and extra curricular programs that reflect the needs and interests of the community.

- the principal, in order to generate a favourable attitude toward the school program, makes the community aware of some school activities through, for example:
  - displaying student art and/or literary material in the library or community centre
  - inviting community and parental resources into the school.

3.3.12 Staff Supervision

- the principal supervises all staff in the school using system procedures which involve collaboration with the supervisee and provision for staff development. Staff supervision is seen as a strategy to improve program and instruction for students.

- criteria for evaluation:
  - the principal establishes with each category of staff to be supervised, the criteria to be used in evaluation, which may in part be spelled out in the system procedures, and which relate to school goals and priorities;
  - criteria are based on agreed upon expectations for the contribution each role can make to the programs and experiences provided for students;
  - the principal negotiates appropriate expectations in relation to each criterion with each staff member;
  - criteria and expectations are focused on the teacher's ability to achieve with students and looks at the teaching as a whole, not just isolated aspects.

- communication of evaluation procedures:
  - the principal explains the criteria, standards and procedures to each staff member prior to carrying out the procedures;

  - the principal communicates the criteria and procedures to be used in the supervision of all staff to others when requested and as he/she judges appropriate.

- the principal applies the evaluation procedures equitably and consistently throughout the school, and is personally involved in teacher supervsion.

- the principal ensures that vice-principal(s) doing staff supervision use procedures and criteria consistent with his/hers by having them share their plans for staff supervision, the process, the criteria and their reports.

- feedback and planning:
  - the principal consistently provides each staff member with information resulting from the evaluation. The feedback may be oral, written, or both, and addresses strengths and weaknesses.
  - the established criteria and expectations serve as the basis for the information provided and recommendations made.
  - the principal collaborates with the staff member to identify specific actions which can be taken to facilitate growth in areas identified in the evaluation. The principal assists in providing resources or other assistance, as needed, to carry out the actions identified and may involve the department head.
  - the principal strives to be fair and just, and sees staff evaluation as a legitimate way to get at and solve problems, and to praise those doing a good job.

- where the principal judges it to be appropriate, he/she will counsel a staff member about a personal problem or suggest the staff member seek assistance.

3.3.13 Direct Relationships with Students

The principal:

- consistently provides an example of the values he/she believes in as a model for the students. This is done through the principal's approach to solving problems with students and through the interactions involving the principal which are highly visible to the students.

- provides an example of the model of learning that the principal aspires to for the students and staff in the school, displaying a willingness to learn and be involved in new experiences.

- frequently uses opportunities provided by informal and spontaneous contacts with students to communicate about and reinforce the values and behaviours he/she believes are needed by or would benefit the students. Opportunities to communicate with students include handling discipline situations, assemblies, visiting classes, dropping into cafeteria, being in the halls, visiting special events and activities.

- strives to ensure students have the information they need and are not confused about how the school operates or what is expected of them. A student handbook may be used to facilitate provision of information to students. The student program booklet is carefully prepared to minimize confusion.

- establishes and maintains an orientation to discipline which is reasonable, fair, consistent and designed to help the student develop and overcome problems.
  - discipline policies, procedures and expectations are described in the school's code of behaviour
  - criteria and standards for discipline are based on the principal's, parent's, student's and staff's beliefs
  - criteria and standards are communicated clearly to all staff, students and parents, and to others on request
  - the principal works to ensure consistency in interpretation of criteria and standards by all staff members, students and parents
  - criteria and standards are consistently applied throughout the school. When a deviation occurs the principal works with those staff members involved to try to solve the problems which caused the deviation
  - parents are frequently involved when discipline situations occur
  - various members of the school staff including principals, vice-principals, department heads, special education staff, student services, the school nurse, teachers, become involved in helping students overcome their problems
  - students are treated as individuals in discipline situations. Students having any sort of difficulty (including with their achievement) are carefully monitored
  - suspension is used as a last resort.

4. Decision Making

4.1 Forms and Procedures for Decision Making

4.1.1 Forms

- the principal knows about a range of different forms of decision making that might be used in the school but selects only one or two forms for all occasions.

- the forms typically chosen by the principal are participatory/majority and independent (vested authority). Sometimes consensus will be sought.

- the principal decides which form of decision making to use on the basis of a strong motivation to involve staff in decision making on the one hand, and beliefs about the urgency and importance of the decision, and best use of staff time on the other.

- the principal strives to create, if they do not exist, conditions within the school which are conducive to participatory forms of decision making. These conditions may include motivating staff to want to participate in decision making and building the trust needed for participatory decision making. The principal varies the form for decision making more as staff are willing and able. At the same time the principal is sensitive to people's tolerance for involvement.

- as opportunities arise, the principal attempts to foster the conditions needed for participatory decision making at the department level . The principal and the department heads as a group are one of the major decision making groups in the school, making decisions about policies, programs, goals etc.

- regardless of the form of decision making used, the principal frequently reserves the right to make the final decision or at least approve the decision because he/she believes the overall school perspective is important.

- the principal sees him/herself and the vice-principal(s) as a team, sharing decision making.

- the principal values leadership at the department level and clearly spells out the decisions he/she considers to be appropriate for that level.

4.1.2 Procedures

- the principal is concerned that the decision making in the school be fair and consistent. Therefore, steps are taken to spell out procedures for decision making. These include:
  - obtaining all relevant points of view
  - ensuring that people understand the decision being made and the process to be used
  - describing the criteria to be used
  - acknowledging and, if possible, resolving, differences in positions held
  - using all relevant information
  - indicating who is responsible for making the decision.

- procedures for decision making are goal-centered, information-based, clearly defined and efficient.

- the principal often recognizes that differences in points of view are due to different values but is unsure of how to deal with that. He/she nevertheless regularly checks to ensure that these issues are recognized in school decision making. The principal requires departments to attend to these issues in their decision making.

- the principal may have a decision making policy for the school. Whether or not such a policy exists, the principal clearly indicates who is responsible for what types of decisions and what process should be used.

- the principal wants staff ownership of decisions and uses processes to ensure that even though it may take longer.

4.2 Attitude and Stance Toward Decision Making

- The principal sincerely attempts to anticipate most of the decisions which must be made and problems that may occur. These are generally dealt with expediently, professionally annd compassionately in a manner that tends to be business-like but friendly. People in and associated with the school are encouraged to raise problems and seek help.

- The principal has a sense of his/her responsibility for meeting the needs of the students and is therefore providing direction in the school in its attempts to provide programs for students. The principal initiates goals, identifies factors, and requires and uses strategies to improve programs and meet students' needs.

- The principal encourages staff to be proactive in meeting student needs and developing a good program.

4.3 Monitoring Decision Making

- The principal routinely checks the decision making that occurs in the school to ensure that it meets his/her standards for fairness and consistency. Information used by the principal includes:
  - staff satisfaction with the decision-making processes;
  - his/her perception of the adequacy with which needs are being met through the decisions made.

- Specific decisions judged to be unfair or inconsistent are analysed and the results taken into consideration in future decisions.

- The principal monitors the decisions which must be made within the school and checks to ensure that decisions are being made when they need to be.

- Decision making at the department level is monitored by the principal and occasionally discrepancies between forms of decision making used at the school level and those used at department/division levels are discussed. Department decision making is monitored by:
    - attending department meetings. The principal and vice-principal(s) are each responsible for liaison with particular departments, monitoring, giving advice and direction.
    - reading department meeting minutes.
    - meeting with department heads before and after major decisions to discuss them.

4.4 Defining Decisions and Clarifying Problems

- The principal deals with decisions and problems in the context of what he/she views to be the school's responsibilities to and for the students (usually some sub-set of the full set of goals of education) and the programs that meet those needs. Problems are clarified and decisions defined so as to ensure that their needs are met. Sets of decisions and problems may centre around different perceived responsibilities, but relationships between some decisions are not overlooked.

- The principal strives to ensure that causes of problems are examined, not just symptoms.

- The principal attempts to make sure that solutions are realistic by dealing with decisions and problems within the parameters of known constraints.

- The principal stresses the school's responsibilities to students and to departments in an attempt to influence the definition of their decision in that context.

- The principal is reflective about decision making in the school.

4.5 Criteria Used in Decision Making

- The basis upon which the principal makes and influences decisions is his/her perception of student needs and his/her knowledge of what has to be done to provide the programs and experiences needed to meet these needs. The principal may hold beliefs about aspects of "good" programming and experiences, and these beliefs and student needs form the operational criteria used in decision making. Such beliefs may include: the need for individualization, the need for active student participation, the need for integration, the importance of good role models, and consistent treatment.

- The principal occasionally tells departments what criteria they should be using for particular decisions.

4.6 Use of Information in Decision Making

- The principal's desire to make well-informed, fair, and consistent decisions, and to help staff to make similar decisions motivates him/her to collect information to be well-informed and to provide staff with information to assist their decision making.

- The principal routinely collects information he/she perceives is needed in order to make or influence decisions in the school, especially decisions about the students' programs and school experiences.

- The types of information considered relevant by the principal include: information from students, parents and staff about students' needs, and how well needs are being met; Ministry of Education and system requirements for programs; any data which deal with students' needs; general and specific information about curriculum development and/or implementation; and information about known constraints. Specific types of information collected by the principal may include: information from informal visits to classrooms, examination of standardized test results, exam results, needs assessments, plans, staff opinions; department head input; data on trends in student marks or enrolment.

- The principal values information and research before a decision is made.

- The principal stresses to department heads that they are representing their department staff and encourages them to understand their staff very well.

- The principal routinely gathers information about needs and how well needs are being met and may develop forms to gather information from parents, students and staff. In addition, the principal visits classrooms regularly to stay well informed about the needs and the programs in the school.

- The principal provides information to staff which he/she perceives is needed to facilitate well-informed decision making. The principal encourages staff to gather information and to ask him/her for information when making decisions. The principal ensures department heads and staff know what is expected of them.

- The principal encourages staff to indicate the information that has been used in making their decisions. Occasionally the principal will require an account of the information used.

LEVEL FOUR

1. Goals

1.1 Nature of the Goals

- The principal has an explicit philsophy of education and image of what it means to be educated. The image held by the principal is consistent with the image held by the Ministry of Education and may be similar to this: an educated person is a self-motivated, self-directed problem-solver, aware of both the processes and uses of learning, and derives a sense of self-worth and confidence from a variety of accomplishments. An educated person is a lifelong learner who thinks clearly, feels deeply and acts wisely (this is Ontario's image).

- The principal's goal is to provide the best education and best experience possible for the students the school serves. The best education is defined by the principal in terms of the full set of goals of education held for students by the school system and the Ministry or Department of Education. This includes affective, skills and knowledge goals; all are considered by the principal to be very important. The best experiences for students are those which contribute to the achievement of all the goals held for students and which enable the student to enjoy school and feel good about him/herself. Such experiences extend beyond those provided by the formal instructional setting.

- More specifically, the principal's goals for students include:
  - developing respect for others in school, in class, and in life
  - providing career assistance to all students and encouraging students to find something they enjoy doing
  - developing critical thinking skills
  - influencing their attitudes about self, others, learning work, responsibility, etc. because the prinicpal is thinking about their futures and what they will need to be happy and productive
  - developing social skills and the ability to get along with others. This includes manners, respect, problem-solving skills and appreciating the importance of participation, responsibility, punctuality, commitment, confidence, etc.
  - giving students a sense of their importance as individuals
  - developing the desire and ability to be contributing members of society, and to be involved in their own community
  - helping students feel good about themselves
  - helping them to become self-sufficient, use common sense, and be responsible
  - developing the solid academic background they require for whatever they choose to pursue

- Therefore the principal's main goal is to make the entire school genuinely helpful to students. This involves, as part of that broad goal:
  - ensuring that staff understand that they are teaching students, not subjects, and that students are treated in a caring, respectful way
  - treating the student as a whole person, and attending to all his/her needs with a full set of goals
  - ensuring that students experience success at whatever levels they are studying
  - being flexible and responsive
  - getting the entire school to work together as a team to assist students in achieving their goals
  - developing a consistent way of treating students across the school
  - getting to know the students and staff as individuals
  - stressing the school's responsibility to students
  - exciting and energizing staff to ensure that students have good experiences and achieve valued outcomes
  - "going the extra mile" for students, especially those in special education.

- Because images are dynamic and changing, the principal is knowledgeable about change and is receptive to changes which facilitate the achievement of educational goals designed to realize the images.

1.2 Source of Goals

- The principal's goals are derived from the Ministry or Department of Education goals, the local school board goals, the needs of the school community and the students. On these bases, the principal establishes his/her goals for students and sets priorities among the goals, if appropriate or necessary. The principal then believes it is his/her responsibility to do whatever is necessary to ensure that students have ample opportunity to achieve these goals.

1.3 Uses of Goals

- The principal is unambiguous in clarifying with staff his/her goals and strives to achieve consensus among staff about these goals being the goals for the school. The principal takes steps to have these goals adopted as the basis for developing department goals and priorities, and used as the basis for department decision making.

- The principal clearly states his/her goals and presents these to the entire school community, including students, parents and other members of the community with an interest or stake in the school.

- The goals of education for students are the focus for all his/her decisions, activities, planning and evaluation.

2. Factors

2.1 Factors of Most Concern

- The principal realizes that all 18 factors are important if the full set of goals are to be realized. All factors are systematically addressed, therefore, although some factors may temporarily receive more attention than others, as determined by the principal's goals which are based, in part, on the school's needs and priorities.

2.2 Nature of Expectations Held for Factors

- For each factor the principal has detailed (concrete, coherent, specific) expectations about the conditions that must prevail in order to make progress toward the goals held for the students. These expectations are detailed and systematic because they are based on substantial knowledge of what is required to achieve the full set of goals. Although very specific expectations are held for all factors, in general the expectations can be summarized as:
  - relevant to all the goals for students,
  - relevant and responsive to students' lives and needs, and up-to-date
  - meaningful to students
  - developed from a total school perspective
  - a kind of "tough love" approach to students
  - doing what is best for students, as whole people
  - firm and defensible
  - aimed at having the whole school work as a team supporting and co-operating with one another to achieve the goals for students, and improving school for students so they experience success
  - designed to promote a high degree of staff and student involvement in the school
  - reflecting enthusiasm for, commitment to, and dedication to students
  - designed to create a well-organized, well-prepared, helpful school
  - aimed at getting to know and work with students as individuals so students feel cared for
  - open and flexible to ensure a responsiveness to change

2.3 Source of Expectations

- The principal establishes expectations on the basis of research, professional judgement, experience and beliefs about effective instruction, effective schools, and other areas relevant to the school's goals for students.

Information from the Ministry of Education, the school system and experts in the field is also systematically considered when setting expectations.

3. Strategies

3.1 Criteria for Choosing Strategies

- The principal clearly recognizes that strategies are means, not goals in themselves. Choice of strategies is made on the basis of:
  - the goal being pursued
  - the factors to be influenced
  - characteristics of the people involved (including capabilities, values and beliefs, level of knowledge, personality, etc.)
  - other activities occurring at that time
  - norms and procedures in the school and system
  - experiences with other strategies used in that or similar settings
  - the nature of the obstacles which need to be addressed

3.2 Emphasis Among Strategies

- The principal is aware of and uses a wide variety of general strategies to influence goals, factors, progress toward expectations held for factors, and decision making within the school.

- The principal recognizes that a wide range of strategies is needed to facilitate the achievement of the goals for students. The principal may use one strategy to influence several goals, factors or decisions, and may also use several strategies to influence one goal, factor or decision.

3.3 Characteristics of Strategies

PART A: GENERAL PURPOSE STRATEGIES

3.3.1 Building and Maintaining Interpersonal Relationships, and Motivating Staff and Students

a. Involving Staff

The principal:

- understands people's needs and preferences about being involved in decisions and activities by getting to know people and checking out the need for involvement; involves people as appropriate.

- encourages involvement, striving to have the *whole* staff function as a *team*, focusing on a total school perspective and everyone being responsible for all the students.
- encourages staff to be involved in the school outside the classroom, and in the community outside the school.
- believes involvement can foster a sense of ownership for decisions and for the school.
- provides many different opportunities for involvement using various procedures and structures, including committees, questionnaires, delegation of responsibilities, etc.
- involves staff from relevant departments when hiring new people, because the person must be able to work in the department.

b. Doing things with staff

- participates in a variety of activities with staff to engender a common sense of purpose, mutual understanding, respect and commitment.
- participates with staff in professional development and some curriculum planning in order to appreciate the complexity of the task, ensure that realistic expectations are set, and to provide leadership.
- participates in such routine activities as supervision to show that the principal is part of a team.
- frequently teaches a course or at least some classes, and coaches.

c. Being positive, cheerful, and encouraging with staff

- encourages staff to see problems as "challenges" to be accepted.
- exhibits confidence in himself and his teachers in their approaches to problem solving.
- assists staff in problem solving by suggesting structures which will promote effective decision making.
- gives recognition to the gains made by staff (both individually and collectively) toward school goals during the year, using personal letters, the Staf Bulletin, the public address system, praise at staff meetings, etc.

- interacts with staff, judiciously using a sense of humour.
- strives to keep staff rejuvenated and interested

d. Being available to staff

- principal is available to staff (e.g., open-door policy, visiting staff room).
- principal structures situations to meet with staff.
- principal encourges staff to initiate meetings.
- drops into department offices.
- spends a lot of time being out in the school so staff can speak to him/her.
- arrives early and stays late so staff have plenty of opportunity to see him/her.
- wants all staff to feel comfortable coming to either the principal or the vice-principal with any problem.

e. Being honest, direct, and sincere with staff

- the principal deals with matters with staff members in the context of a philosophy of education and the goals of the school. Such interactions with staff are characterized by:
  - analysing and placing the situation at an appropriate level of analysis
  - a commitment to exploring all sides of the situation
  - a desire to "get the facts"
  - use of language that leads to learning not resentment
  - willingness to accept and put aside occasional mistakes
  - a desire to help others attain a degree of objectivity on problematic situations
  - a focus on rights and responsibilities; a willingness to help staff decide if they want to exercise their rights; a willingness to accept inconveniences caused by people exercising their rights
  - a commitment to open, direct, honest discussion
  - sensitivity and an attitude of caring about staff as individuals
  - fairness
  - willingness to treat the problem specifically and not to generalize about the person
  - willingness to be honest about the problem but also to give helpful suggestions

- willingness to face and confront unpleasant situations (but to "confront with humility" and admit when you are wrong)
- willingness to collect more information
- willingness to admit there is more than one potential solution
- realistic expectations and care in not making promises that cannot be kept
- willingness to treat situations as decision-making situations
- use of language that is neither patronizing nor full of jargon so as to be understood.

- the principal will counsel people out of teaching if he/she believes that is what is best for the individuals.

f. Acting as a role model for staff

- The principal believes the role model of the principal is important in the school and lives out the expectations he/she has for staff in general behaviour, in model of the learner held by the school, in problem solving, in attitudes, etc.

- The principal is enthusiastic, caring, and consistent.

3.3.2 Providing Staff with Knowledge and Skills

- The principal ensures that staff are involved in professional development that is related to the school's goals and his/her goals for students.

- The principal ensures that professional development is specific, targeted or high quality, current, and relevant.

- The principal:
  - is aware of staff needs for knowledge, attitudes, and skill (e.g, staff do not know how to plan)
  - is aware of help available and suggests that staff use this help
  - arranges for assistance for staff
  - matches the type of assistance to individual needs and differences among staff, as much as possible
  - provides staff with materials to read which are relevant to their needs
  - brings people into the school to speak to staff about issues where attitudes, knowledge, and skill are needed
  - advises staff to go to particular courses and conferences
  - conducts in-service with staff, within the school
  - arranges for staff to visit each other
  - gets resource people to come to the school to help staff
  - sends people to very specific professional development activities

- works with individuals to improve classroom delivery to benefit students
- involves the department heads in providing professional development for staff.

3.3.3 Using Vested Authority

- the principal's orientation to the use of vested authority includes:
  - determining when the use of vested authority is the best strategy to use
  - clearly defining the decision to be made, explaining why vested authority was used, and explaining the criteria used
  - knowing the parameters of the principal's authority and exercising caution to stay within those limits.

- the principal uses vested authority to make the really "tough" decisions staff do not want to make, or when no other strategies have worked, or when he/she feels staff really have no choice

3.3.4 Facilitating Within-School Communication

- examples of actions used to facilitate within-school communication include:
  - conducting staff and department head meetings and carefully using time at such meetings (e.g., deciding ahead of time what needs to be discussed and what does not, making clear to staff the nature of the items - for decision, for information, etc.)
  - carefully sequencing meetings so information flows
  - negotiation of the day and time of meetings and number of meetings
  - providing leadership at meetings
  - realizing that all people do not want to be involved in all things
  - sensitivity to the importance of timing in communication
  - delegating responsibility for some aspects of within-school communication e.g., to department heads and vice-principal(s)
  - judging what informmation needs to be passed on and what does not so that staff's time is not wasted
  - judging what information needs explanation
  - meeting various staff members on their own "turf" e.g., may walk around the school with janitor
  - meeting staff regularly to keep up-to-date on school activities
  - making sure custodial staff and secretarial staff are welcome in the staff room
  - encouraging staff to use each other for help
  - being aware of the formation of cliques and taking steps to ensure they do not get out-of-hand and cause dissent and isolation among staff
  - arranging informal social occasions to foster openness

  - establishing procedures to ensure communication of information needed by all staff on a regular basis (e.g., Staff Bulletin, requiring departmental meetings with minutes kept which are read by the principal, etc.).

- the principal shares all information about budget with all department heads.

- the principal wants people to know what is going on so is very open.

- the principal meets frequently with individual department heads to discuss many matters including goals, progress, courses of study, students with problems. This is a very important aspect of the principal's management and leadership.

- the principal and vice-principal(s) attend department meetings.

- minutes of department heads meetings are available to all staff.

- uses written communication when he/she wants people to have a record of the information.

- communicates constantly with the vice-principal(s) so they are all well-informed about what is happening in the school.

- promotes close relationships between the school administration and student services so everyone is working in the same direction for students.

- promotes close relationships between the special education staff and the regular staff and uses strategies to ensure they work together.

- follow-up on communication to ensure consistent interpretations and applications.

- encourages everyone to become better listeners.

- prepares and annually revises a Staff Handbook which provides people with the information they need in order to know what is required. Reminds people to read the handbook.

- communicates expectations clearly to staff.

3.3.5 Facilitating Communication Between the School and the Community

- in order to facilitate effective communication between the school and the community, and productive relationships between the school and community, the principal, for example:

  - ensures that he/she and the staff are knowledgeable about the community, their standards and economic background
  - ensures that he/she and the staff are aware of the nature of parent-child relationships outside the school context
  - matches the form and substance of communications to the variety of needs in the community.

- the principal raises or considers all matters with the community in the context of school goals. The principal wants the community and parents to know that the school cares about their children, and that the school is a good place.

- strategies designed to achieve the desired relationships with the community may include:
  - being accessible to parents and members of the community
  - including all members of the community in invitations (e.g., non-parents, grandparents)
  - taking school activities out into the community (e.g., into malls, senior citizen homes)
  - encouraging the staff to facilitate a sense of "community" with students and encouraging students to participate in their community by doing volunteer work, etc.
  - providing frequent and varied opportunities for parents and members of the community to come to the school (e.g., assemblies, science fairs, parent nights, musicals, band concerts, drama productions, commencement, career days)
  - newsletters
  - use of local cable television and radio
  - involving parents in dealing with discipline situations
  - forming a parent advisory committee
  - involving the students in local charities and raising money with students (e.g. for United Way).

- co-op education is seen as a positive and direct means of building relationships with the community.

3.3.6 Finding Non-Teaching Time for Staff

- the principal ensures staff have some non-teaching time and may use creative ways to increase the amount of non-teaching time for specific purposes and to motivate staff.

- if staff need particular professional development, the principal ensures that their classes are covered.

- the use of non-teaching time is considered, in part in the context of the goals of the school, and the school's plan, and the goals and plans of the individuals concerned.

- the principal encourages staff to plan for the use of non-teaching time (in the context described above).

- the principal may occasionally suggest how the time should be used, providing a rationale in the context of either the school's goals and plans or the individual's goals and plans.

3.3.7 Establishing Procedures for Handling Routine Matters

The principal is very well organized and establishes procedures for handling routine matters, such as a system of office management that includes:

- role descriptions for secretaries and vice-principal(s);

- procedures/systems for handling routine matters such as inventories of school equipment, lates, attendance;

- planning, projection, anticipation and preparation for upcoming tasks and reports (e.g., enrolment projections);

- information record-keeping systems so that information can be located in the principal's absence;

- daily routines to ensure that time is well used, deadlines are known and met and ongoing tasks are given regular attention;

- delegating responsibilities and tasks in order to facilitate the most effective use of his/her time; the principal monitors how well staff handle delegated responsibilities and makes adjustments if necessary;

- establishing norms about how the school will function; these may include:
    - demonstrating a willingness to discuss policies, procedures, expectations, and the problems related to these or other concerns or tasks. The intention is to resolve problems, alleviate concerns and maintain group solidarity in carrying out the shared responsibilities in the school
    - ensuring, through written guidelines and discussions with staff, that the expectations of teachers are clearly communicated and understood
    - uses a Staff Handbook

- monitoring the effectiveness of his/her office management system in terms of the nature and degree of contribution made to achievement of the school's goals;

- developing procedures to handle annual sets of decisions such as staffing, student placement, budget, in order to minimize the amount of time and other resources needed for these decisions;

- ensuring that staff understand the procedures used in the school;

- training support staff to deal with routine problems;

- maintaining successful routines from year to year, incorporating only necessary changes resulting from systematic review using data from all staff;

- developing and using procedures for recurring situations (such as the arrival of new students in mid-term).

PART 8: FACTOR-SPECIFIC STRATEGIES

3.3.8 Goal Setting, Planning and Program Development

School Goals

- the principal values goal-setting and employs a procedure for setting school goals. The procedure involves staff and requires that school goals be set and reviewed at least once a year. Plans are developed for systematically pursuing the goals. The procedure for setting school goals requires that:
  - the goals reflect Ministry of Education goals, school system goals and the needs of the students and school community, and include special education
  - the goals be attainable
  - there be long and short range goals
  - the goals be prioritized
  - there be a plan of action with indicators and responsibilities identified
  - the timeline be realistic
  - there be a process for evaluating progress
  - the plan be well organized and reflect good time management
  - the goals be clearly stated and communicated to staff, students and the community
  - the goals pay attention to all factors including out-of-classroom factors.

- the principal consistently uses and promotes the use of agreed-upon goals as criteria for decision making in the school and within departments. Many strategies are used to ensure that staff consciously use school goals in their decisions, activities, planning and evaluation.

- the principal has a long-term perspective on the school, its responsibility to students, and the direction it should be going

- school goals are focused on students, not necessarily particular programs, and certainly not programs for their own sake.

- school goals appear in the Staff and Student Handbooks.

- a major goal is to have the whole school working together as a team, focused on students' progress and success.

- policies are developed relating to some school goals (e.g. student evaluation).

Program Goals

- the principal requires department heads and teachers to set goals and develop plans for their programs. The principal has clear expectations for planning, including the structure or framework for their plans and timelines for developing plans. Department heads must submit plans to the principal and receive feedback about their plans so the principal can keep control over the overall direction and quality of programs in the school.

- the principal expects department plans and goals to reflect the school goals and a focus on the student as a whole person (i.e. not focused just on particular courses of study).

- department goals must address improved classroom delivery including communication, instructional strategies, evaluation, discipline, and must incorporate special education.

- each department's goals may be published for the whole school.

- the principal meets with department heads throughout the year to monitor progress with their goals and provide assistance.

- the principal works with departments to ensure that expectations for goal setting, planning and communication development are understood and adhered to and that teachers are provided with feedback about their plans. The criteria to be used in developing and providing feedback about plans must include:
    - recognition and planning for growth in the objectives established for students
    - balanced attention to all categories of objectives found in the Ministry of Education and system curriculum guidelines
    - integration with programs across departments/subjects

  - reflection of agreed-upon goals for students, in the instructional strategies and student activities
  - plans for student evaluation which address all categories of objectives (knowledge, skill and affect) and set criteria and expectations that are fair and consistent
  - strategies for individualizing the program as much as possible
  - attention to all "Within-Classroom" factors

- teachers are provided with assistance if they have difficulty planning.

- the principal ensures that teachers have time to plan. The principal may become involved in some program planning and development so that he/she can fully appreciate the complexity of the task, maintain credibility with staff, ensure that realistic expectations are set and provide leadership.

- the principal ensures communication among departments about programs, goals and program development procedures in use.

- the principal reads courses of study and provides feedback to department heads.

- the principal expects planning and, at a minimum, annual revision for all courses and has procedures in place to ensure this happens.

- the principal carefully monitors new courses.

3.3.9 Program Implementation

- the principal requires department heads to establish priorities among the programs to be implemented.

- the principal expects the department heads to develop plans for program implementation and to work intensively to implement programs. The principal meets with department heads to review their plans and meets regularly to review progress.

- other actions taken by the principal include
  - requiring department heads to visit teachers' classrooms to facilitate and monitor implementation
  - ensuring quality program development
  - ensuring staff know what is expected of them
  - monitoring student achievement and requiring program changes if appropriate
  - involving the special education staff with regular teachers in the classroom, to assist students

- providing professional development and requiring department heads to provide the professional development necessary for program implementation
- encouraging flexibility to do whatever is needed to meet student needs
- monitoring to ensure that individual student needs are being met
- being firm but reasonable about implementation
- following up to ensure actions are taken and communications and expectations are understood.

- the principal is actively involved in ensuring the implementation of the school system's special education procedures to ensure that they are followed with care and integrity to meet student's needs.

- the principal establishes mechanisms to ensure communication among departments about program implementation procedures.

3.3.10 Program Monitoring

- the principal requires departments to develop and use a procedure for monitoring their programs. This requirement may be established as a school policy.

- the principal requires that all courses be reviewed and revised every year and communicates this expectation clearly to staff.

- the principal reviews courses of study and revisions, and provides feedback.

- the principal monitors student achievement very closely to monitor the effectiveness of programs and requires that Departments use student achievement data to monitor course effectiveness (data include failure rates, medians, enrolment changes in courses). When failures occur the principal requires that explanations be provided, and if reasons are unacceptable or if failure rates are too high the principal requires the department to take immediate action to change the program or the teaching.

- secial education students are monitored very carefully and immediate action taken if required.

- the principal reviews program when doing staff evaluation.

- the principal and vice-principal(s) attend department meetings and require and facilitate the discussion of program matters.

- if the system has a procedure for monitoring program (such as a Cyclic Review) the principal systematically uses it to influence the quality and direction of the school's programs. This may involve meetings with the department heads to develop plans which respond to recommendations, and monitoring progress.

- the principal visits classrooms frequently.
- the principal follows up all policies, programs, goals and plans to ensure consistent integration and implementation.

3.3.11 Providing Support Resources

- the principal retains control over the budget and requires departments to justify requests for money in terms of the department goals and the impact on students.
- the principal's main concern is to use the budget to promote goals for students, and budget allocation is based on school priorities.
- all departments see the amount of money allocated to each department.
- the principal monitors budget spending to ensure that it is spent in ways that benefit students.
- the principal makes available to staff the human support services (e.g., system resource staff, custodial staff, health nurse, psychometrist, secretaries (audio-visual aides) necessary to implement school programs.
- the principal systematically works with students and staff to convey to the community the purpose of the school program and to show how it reflects the image of the educated person. This plan for generating community support is implemented by arranging programs which encourage:
  - students to become involved in the community through, for example, fund raising, educational displays and athletic competition
  - staff to develop and interpret to the community, school curriculum and extra-curricular programs that consider the needs and interests of the community which are consistent with Ministry of Education policy
  - administrative and board officials to support programs that take place in the community such as co-operative education and special in-school activities.
- the principal, in order to generate understanding of and support for the school program, systematically involves the community in the program. This may be achieved by using techniques such as:
  - displaying art and/or literary student material in the library or community centre
  - inviting community and parental resources into the school

  - involving members of the community to provide advice in the development of selected school policy (e.g. code of behaviour)

3.3.12 Staff Supervision

- the principal systematically supervises all staff in the school using procedures which involve extensive collaboration with those being supervised, are directly linked to the school goals, and include extensive provision for staff development. This is a very important strategy for the principal.

- criteria and standards for evaluation:
  - the principal establishes with each category of staff to be supervised, the criteria and standards to be used in evaluation
  - criteria and standards are based on the school's goals, images of the educated person, all factors affecting the image of the learner, detailed expectations for factors, the contribution each role can make to these, and system requirements as outlined in system procedures; teacher planning is considered in evaluation
  - the principal identifies appropriate expectations, in relation to each criterion, for each staff member, in collaboration with that staff member.

- procedures for evaluation include:
  - provision for the identification of strengths and weaknesses
  - provision for the development of agreement about the data to be collected and the methods to be used to collect data (and may use clinical supervision techniques)
  - provision for the identification of obstacles faced by individual staff members
  - the principal does some evaluation of teachers, as well as of department heads, and sees more teachers than required by the system procedures whenever possible
  - focus on improving classroom delivery for students.

- communication of evaluation procedures:
  - the principal communicates clearly the criteria, standards and procedures for evaluation to each staff member well in advance of carrying out the evaluation procedure
  - the principal communicates to the community on request, to all staff members, and to supervisory officers, the criteria, standards and procedures to be used in the supervision of all staff.

- the principal applies the evaluation procedures equitably and consistently throughout the school.

- feedback and planning:
  - the principal consistently provides each staff member with both verbal and written information resulting from the evaluation, providing an appropriate balance between strengths and weaknesses, additional growth which might be available and areas in which improvement is necessary; praise is given where it is due
  - information provided is both detailed and in a form readily understood
  - established criteria and standards adapted to the staff member's context serve as the basis for the information provided
  - the principal collaborates with the staff member, and where appropriate, the other relevant staff, in developing a plan to assist the staff member's growth in those areas identified through the evaluation and to provide the resources needed. Elements of the plan might include, for example: specialized training programs; teacher intervisitations; selections from board-offered in-service programs; professional readings; increased administrative duties; alternative teaching assignments.

- the principal works to ensure that vice-principals follow school and system staff evaluation procedures consistently.

- the principal, where appropriate, initiates or obtains effective counsel for staff in resolving personal problems.

3.3.13 Direct Relationships with Students

The principal:

- consistently provides an example of the images of the educated person to which the school program as a whole aspires. This is done through principals' approaches to problem solving and decision making and in the nature of the relationships, highly visible to students, in which principals participate (e.g., the principal's involvement in the discipline of students).

- consistently provides an example of the model of the learner on which the school's orientation to instruction is based. The principal visibly takes a personal interest in a significant sample of the wide variety of activities considered by the school to be desirable for students (e.g., sporting events, bands, clubs), and actively participates as a learner in some instructional activities.

- frequently uses the opportunity provided by informal and spontaneous contacts with students to communicate, further explain, and consistently reinforce the school's image of the educated person and model of the learner (e.g., recognizes the efforts of all students, including low profile, introverted people).

- uses all possible occasions of spontaneous contacts with students to accumulate information about any aspect of the school's activities relevant to goal achievement.

- seeks to develop an understanding of the home situation of students with special problems to be better able to assist them.

- is involved directly in special education to assist students.

- encourages and develops the Student Council as a forum for student development.

- may teach or coach.

- strives to provide cultural experiences for students.

- assists in students' course selection and in promotion meetings to directly influence students' success. The principal also closely monitors student achievement and behaviour and makes sure all staff are doing everything possible to help students with difficulties (including special education and student services).

- ensures the school remains focused on students.

- wants students to know he/she is fair, cares about them, respects them and can be trusted.

- works with outside agencies to assist students.

- believes it is important to get to know students as individuals to be able to work with them effectively.

- students are involved in school-wide decisions where appropriate.

- a Student Handbook is provided to assist students.

- expectations for students are clearly stated.

- the principal works with individual students, assisting them in solving their problems.

- in order to convey a sense of "we-ness" between students and principal, the principal does such things with students as:
    - attending field trips and especially overnight activities where possible
    - participating in extra-curricular activities

  - assuming coaching opportunities with both sexes and all ages
  - acting as resource person for students to use in tasks or research
  - participating in assemblies to give positive reinforcement to students
  - teaching groups of students

- the principal
  - sees individual students to give positive reinforcement on a regular basis
  - answers complaints or "gripes" by explaining reasons for policies, and other relevant school regulations
  - tries to reinforce through praise, the self-worth of all he/she is in contact with
  - encourages and supports activities which foster enthusiasm for school and life
  - always gives time to individual students with problems
  - is a good listener
  - poses insightful questions
  - helps person discover a plausible course of action
  - has background knowledge of law, policies, pedagogy which builds respect and confidence
  - is visible in school
  - eats with students occasionally
  - encourages students to tell him/her of problems or successes as they occur
  - has an "open" door and mind
  - deals with students directly
  - listens to their explanations patiently and actively
  - ensures credibility with them by following through on promises
  - helps them to face the natural consequences of their behaviour
  - shows appreciation for mature and sensible behaviour
  - relates misbehaviour or incidents to the goals of the school, normal expectations for behaviour or school rules
  - encourages them to participate in solving their own problems
  - accepts their apologies
  - apologizes to them when he/she is in the wrong
  - demonstrates a genuine enjoyment of their company
  - encourages, where practical, students and staff together to identify a goal and plot a course of action toward this end.

- the principal establishes and maintains an orientation to student discipline which reinforces the school's images of the educated person and models of the learner. This means that:
  - criteria and standards for discpline are visibly derived from prevailing images of the educated person and models of the learner, and are developed with input from students, staff and the community

  - criteria and standards are communicated clearly and widely shared by students and staff
  - criteria and standards are consistently applied. Under circumstances where student discipline at the school level is the responsibility of several people (e.g., vice-principals), the principal ensures consistency in interpretation of criteria and standards. This may be done by regular reviews, by all staff involved, of cases of application.

- the basic approach to student discipline can best be described as "tough love", that is, the principal tries to do what is best for the students and is strict, fair, caring, firm and non-punitive. The principal strives to develop this approach with all staff.

- the principal strives for self-discipline with students.

- the principal strives to ensure that discipline is kept in a helpful perspective and not focused on trivial issues.

- the principal is actively involved in discipline situations with students and may be directly responsible for a particular group of students.

- the principal strives to have discipline treated first by the classroom teacher, then by the department head and finally by the school administrative personnel.

- the principal strives to ensure that staff do not use anger when disciplining students.

- the principal strives to ensure anyone who deals with a student in a discipline situation follows up the incident later, with the student, to ensure the relationship is still all right.

- parents are frequently involved in helping to deal with discipline situations.

4. Decision Making

4.1 Forms and Procedures for Decision Making

4.1.1 Forms

- the principal knows about a range of different forms of decision making that can be used in the school and chooses the form best suited to the prevailing conditions in his/her school setting, given the particular decisions to be made.

- forms of decision making available to the principal include: vested authority (principal makes unilateral decisions), decentralized (assigns responsibility for decisions to others), participatory (involves people affected by the decision in its making), consensus (works toward agreement) and majority (decision by vote, although the principal prefers to not have votes). Negotiation is very important to the principal because he/she wants people to understand.

- Criteria used in selecting the best form include:
  - existing decision-making practices within departments across the school
  - staff preferences and capabilities
  - nature of goals to be achieved and decisions to be made (i.e., complexity of goals, amount of certainty and agreement about goals)
  - feedback resulting from previous use of selected forms of decision making
  - conditions pertaining to the particular decision (e.g. time available)

  The principal practises situational leadership, based on these criteria.

- the principal decides on the best form to use first and communicates that clearly, with a rationale.

- the principal retains the right of final approval on most major decisions (e.g. staffing, new courses, timetable, number of sections). Some degree of control is important so the school stays focused on important goals.

- the principal strives to create, if they do not exist, conditions within departments and across the school conducive to relatively decentralized, participatory forms of decision making. These conditions include among others:
  - staff willingness to play a large role in school decision making
  - sufficient knowledge and skill among department heads and teachers in group decision making
  - effective human relations, and a climate in which the motives of those participating in the decision making are trusted by all concerned.

- the principal wants staff to participate and take responsibility.

- The department heads as a group with the principal and vice principal(s) are a major and important decision-making group in the school (although the principal may still be the "bottom-line"). Decisions about school policies are usually dealt with by this group.

- the principal works closely with the vice-principal(s) as a team, sharing many decisions, and developing their decision making skills.

- the principal frequently uses committees to assist with particular decisions. Committees are given clear tasks, are frequently provided with at least some criteria and information and are usually required to report back to the person or group ultimately responsible for the decision.

- the principal works with departments to ensure that forms of decision making used there are compatible with forms of decision making used at the school level. The principal, therefore, is aware of the forms of decision making used within the school. He/she takes steps to ensure that staff are aware of the forms of decision making available, how each works, and the types of decisions each is most suited for.

- the principal involves students in decision making where appropriate.

4.1.2 Procedures

- independent of the form of decision making used, the principal strives for defensible fair decisions by ensuring that:
    - the views of all those with a stake in the decisions are considered
    - the relative importance of different stakeholders' views are considered
    - the decisions to be made are carefully defined
    - criteria are clearly defined
    - the values on which criteria are based are articulated
    - value conflicts among stakeholders are addressed before decisions are made
    - information relevant to the decision is collected, available and used

- the principal establishes procedures to help ensure that all these issues are systematically addressed. Procedures are developed which are compatible with the different forms of decision making used, but in any situation there is a clearly defined process and the principal strives to ensure that it is understood before the decision is made.

- the principal strives to ensure that departments follow these procedures for making decisions so that their decisions are also ethical and defensible.

- the principal establishes procedures which ensure that the decisions which must be made at the different levels in the school organiation are addressed when they need to be (e.g., develop a calendar listing all major decision points).

- the principal's decision-making processes can be described as vigilant, caring, clear, fair, firm but flexible.

- the principal reminds people of the decison making process as needed.

4.2 Attitude and Stance Toward Decision Making

- The principal anticipates the decisions that must be made and the problems that must be solved to continuously make progress in the achievement of the goals for the students. Procedures are used which keep him/her aware of decisions to be made and problems which may arise.

- The principal can be described as extremely proactive in making sense of the school for students and in meeting their needs.

- The principal seeks creative, unusual solutions for different problems and is willing to try almost anything.

- The principal is aggressive in solving problems that affect students negatively.

- The principal views change as a continuous, gradual process, and the principal plans and acts accordingly in order to influence and control the direction and nature of change in the school. Opportunities are sought to make progress in the achievement of the goals.

4.3 Monitoring Decision Making

- The principal systematically monitors the effectiveness of the forms and the procedures used for decision making. Information used by the principal includes:
  - stakeholders' satisfaction with the decision/solution
  - staff reaction to the decision-making forms and procedures
  - the resources needed for the decision-making forms and procedures
  - the effect of the decision/solution on the progress being made with the goals.

- Forms of decision making and procedures are refined as needed.

- The principal monitors the decisions made by any group responsible for decision making (e.g. department heads, committees, vice-principals), and gives them feedback.

- The principal, with the vice-principal(s), regularly reflects on decisions made and processes used.

- The principal monitors department level decision making very carefully. Strategies used include:
  - attending department meetings
  - requiring department heads to communicate about their decisions and provide a rationale in terms of student needs and the school's goals

- requiring department heads to submit regular reports about department plans, goals, activities, progress, etc.; the principal makes sure these are in line with the total school direction and requires changes if necessary
- reads department meeting minutes and responds to department heads if necessary.

4.4 Defining Decisions and Clarifying Problems

- The principal views decisions and problems in the context of the school goals, the goals for the students, and the specific priorities set by the school. Therefore, decisions to be made and problems to be solved are set in the context of these goals. Decisions are intended to contribute to the achievement of the goals. Problems are treated not in isolation but as a part of the overall mission of the school, and in terms of what is good for the students.

- Decisions and problems are defined as clearly as possible.

- Attempts are made to address the causes of problems, not just symptoms.

- In addition, the principal ensures that problems are clarified and decisions defined in such a way that the decisions to be made can be realistically implemented and problems are solvable, given the school context

- The principal strives to ensure that departments define decisions in a similar way.

4.5 Criteria Used in Decision Making

- The principal derives criteria to be used in making decisions from the goals for the students, and the specific goals and priorities set by the school, that is, on the basis of what is necessary to facilitate progress toward the goals, the principal establishes criteria used in making decisions in the school. Criteria might include: the need for individualized programming; the need to address all the goals of education treating the student as a whole person; and the students' stages of development. The best way to summarize the criteria is that the principal decides on the basis of what is judged to be for the good of the student.

- The principal believes flexibility is important, in order to be able to meet the students' needs.

- The principal also looks at the uniqueness of each situation and particular circumstances.

- Criteria are always clearly defined and consistent.

- The principal strives to ensure that departments use the same criteria in making their decisions, and sometimes specifies the criteria to be used.

4.6 Use of Information in Decision Making

- The principal systematically collects information which is relevant to the decisions to be made in the school and attempts to ensure that all relevant information is available when decisions are being made.

- The principal attempts to ensure that two types of information are used in decision making: (a) general knowledge of curriculum and education including recent research relevant to the decision, information about alternatives generally available, and a knowledge of curriculum development, implementation and evaluation; and, (b) specific information relevant to characteristics of the school, the people, the students, school-wide and board-wide needs, etc. This requires attention not only to formal channels of communication with staff but also to informal channels available over coffee, during lunch and through classroom visits. It also requires the principal to listen carefully to staff and be consistent in the information he or she provides to staff.

- The principal requires staff to indicate the nature and source of information used in their decision making. He/she monitors the use of information and encourages better use of information, if necessary.

- The principal systematically collects information for the purpose of monitoring different functions in the school (e.g., implementation) and making decisions about these functions.

- The principal uses or requires the use of procedures which ensure that data required for well-informed decision making are routinely collected and available (e.g., the principal routinely collects information about progress being made in achieving the school's specific goals and uses this information to modify plans and/or set new goals, if necessary). Student achievement data is used extensively. Data on trends in achievement, enrolment etc. is used.

- The principal systematically provides information to staff to facilitate well-informed decision making by anticipating their needs and providing information and by informing staff he/she will attempt to provide any information needed. Examples of how this is done include:
  - preparing and maintaining a handbook which outlines procedures used in the school for routine matters, role descriptions and responsibilities, special events and occasions which are recognized, school customs and norms. The

handbook is kept up to date and the principal creates the expectation that the handbook will be used by ensuring the staff have a copy of it, by referring to it, etc.

- when a new staff member arrives in the school, the principal meets with the person to help orient him/her to the school; the principal attempts to ensure the person has the information needed to be able to fit in (including housekeeping routines, school goals and priorities and other expectations)
- discussing the school's goals and translating them into tasks, attitudes, etc. so that each person understands his/her contribution to the goals
- providing staff with information about expectations for behaviour, operation, attitudes, etc. concerning the school
- establishing procedures to ensure that staff obtain information about new students they are receiving
- establishing procedures to ensure that staff are aware of and understand student achievement data relative to school goals and priorities, and what is expected and acceptable
- informing staff of any parental concerns, input, requests, etc.

Section Three

Differences in What Elementary and Secondary Principals Do

RESEARCH PURPOSES AND METHOD

The claim that there must be significant differences in the demands placed on elementary and secondary principals seems intuitively reasonable. There are, after all, obvious differences in the size of most elementary and secondary schools, curricula seem much more discipline-oriented at the secondary level, students are at very different stages of development, and the like. On the other hand, our reviews of principal preparation programs suggested that few efforts were being made to explicitly identify and respond to such differences. Furthermore, our search of the empirical research literature yielded only a small handful of studies of the secondary principal role in contrast with a body of research on the elementary principalship, rapidly approaching 100 in number. More to the point, we were able to locate only ten empirical studies which explicitly compared the elementary and secondary school principalship (Morris et al., 1986; Martin and Willower, 1981; Willower and Kemtz, 1982; Caldwell and Lutz, 1978; Johnston, 1983; Salley, McPherson and Behr, 1975; Newberg and Glatthorn, n.d.; Carmine, Gersten, and Green, 1982; Licata and Hack, 1981; Eastabrook and Fullan, 1978). The results of these studies were sufficiently tentative to make them an unreliable basis for either understanding or action: this was the stimulus for the present study.

Three questions guided the study:

1. Do elementary and secondary principals in Ontario perceive differences in their respective jobs? If so, what are these differences?

2. What differences, if any, are evident in comparing independently developed descriptions of the practices of elementary and secondary school principals?

3. If differences are identified, do they have practical significance?

Two research strategies were used to address these questions. One strategy involved asking an open-ended question, concerning differences, at the end of a lengthy interview which addressed other issues as well. This question was asked of a randomly selected sample of 38 secondary school and 22 elementary school principals in four selected school systems. Responses to this question were analysed for content.

The second strategy involved comparing the profile of growth in secondary school principal effectiveness (see Section Two for a description of methods used in its development) with its elementary school counterpart (see Leithwood & Montgomery, 1986).

Both of these strategies have serious limitations. In the case of the open-ended questions to principals, the basis from which most responses were generated was likely to be extremely limited: few principals interviewed had had experience at both levels and so could only speculate about differences from indirect sources of information. Many expressed hesitancy about identifying differences. Further, our interviews were not formed by any self conscious framework for understanding differences. They were, rather, "fishing expeditions" which were considered a useful grounding for further research.

The comparison of elementary and secondary principal profiles was guided by an explicit framework provided by the dimensions and levels of The Principal Profile (Leithwood and Montgomery, 1986). But this comparison was between two already aggregated and synthesized sets of data which likely prevented the identification of some detailed or "micro" differences. It also prevented the conduct of any quantitative analyses of the data to estimate the relative importance, strength or frequency of differences. Once again, these data were viewed by us as additional grounding, in preparation for further research. Although such further research lies beyond the scope of the present study, we can report that it has begun and that it should overcome a number of the limitations evident in our preliminary inquiries.

RESULTS AND CONCLUSIONS

Table 1 summarizes the results of both the open-ended interviews and the profile comparisons. Eleven differences between the jobs of elementary and secondary principals were identified along with the reasons advanced for the differences, when such reasons were available. Of these differences, eight appear to be at least partly a function of school size rather than school level. Two of these school size differences provide potential advantages to secondary (larger school) principals:

- greater opportunities to delegate responsibilities because of more staff with administrative responsibilities (number 6); and
- improved opportunities for effective problem solving because of the special resources (people and other types of resources) available within the school (number 8).

The remaining differences attributable to school size appear to offer potential advantages to elementary (smaller school) principals (numbers 1, 2, 3, 4, 5, 11):

- it is easier to communicate effectively with and among staff when the number of staff members is small (number 1);
- one's impact on program decisions and school directions can be more direct in a smaller school where there are no other positions, such as department heads, through which one normally works (numbers 2 and 4);
- there is less time and effort required for record keeping and other paper work, timetabling is simpler, grading responsibilities are less demanding (number 5);
- budgets require less effort to develop and monitor (number 3); and

- there are reduced demands on the keeping of statistical records concerning students (number 11).

Two of the eleven differences in Table 1 (numbers 7 & 9) can be traced to perceived differences in the clients of elementary and secondary schools. Many secondary principals, in particular, reported spending large proportions of their time on student problems more complex and severe than those they anticipated were normally faced by their elementary school counterparts (e.g., teenage pregnancies, higher incidence of substance abuse). These were perceived as problems often extending beyond the competence or authority of the principal to deal with although they were, at least initially, confronted with them (number 7). Parents, on the other hand, were viewed as having a more pervasive role in elementary than secondary schools because of the more dependent nature of younger children and the closer identification of elementary schools with their immediate community (number 9). This fact may add a dimension of complexity to the job of elementary principals relative to their secondary colleagues.

Finally, there appear to be differences in the mandate of elementary and secondary schools that contribute to difference in the work of principals (number 10). Elementary schools foster the general, and relatively homogeneous, development of young children and prepare them for entry into secondary school programs which can be known and controlled to a significant degree by the public school system itself. The secondary school, in contrast, is faced with the task of increasingly specializing the training it offers students accompanied by an inevitable press toward pragmatic and organizational compartmentalization: secondary schools must offer highly diverse programs to students whose destinations include the world of work and a plethora of post-secondary education institutions.

One of the questions to be addressed by this study concerned the practical significance of differences that might be identified between elementary and secondary school principals' roles. Should the differences identified in this study be substantiated through subsequent research, the practical implications would appear to be significant particularly for the pre-service training of secondary school principals in Ontario.

At the present time, Ontario's required pre-service principal certification courses offer largely the same training to people preparing themselves for elementary and secondary principalships. Considerable evidence does support the view that effective performance in the two jobs requires a substantial body of similar knowledge and skill (see, for example, the Elementary and Secondary Principal Profiles). Nevertheless, tentative results from this study suggest that further refinements of the emphasis within such programs may be warranted to recognize significant differences between the two roles. Section 5 of this report (Pre-Service Education) identifies more precisely what the nature of these refinements might be. It seems likely that these refinements could be accommodated within existing courses that combine people with both elementary and secondary school interests. The development of options for specialized study and practical experience within such courses may be helpful.

Table 1: Differences between Elementary and Secondary School Principals' Jobs and Reasons for such Differences

Differences	Reasons
1. Communication	
Effective communication is easier in elementary schools than it is in secondary school school	• fewer people • smaller plant
2. Program	
Although the secondary principals' impact on the program is similar, their relationship to the instructional program is less direct than that of the elementary principals	• role of heads • degree of specialization • number of staff
3. Budget	
Budgetary concerns occupy much less time for elementary than for secondary school principals	• vastly smaller sums of money • elementary finances much less complex
4. School Direction	
Secondary school principals have significantly less influence on school direction than have elementary principals	• number of secondary staff • complexity of organization • scope and multiplicity of program and interests
5. Administration	
Secondary principals spend more time on paper work than do their elementary colleagues	• timetabling activities • grading responsibilities
6. Delegation	
Elementary principals are able to delegate fewer responsibilities than secondary principals	• may be the only on-site adminisrator
7. Student Problems	
Student problems are generally less severe in nature for principals in elementary schools	• age of student • smaller numbers in elementary schools allow for greater closeness to students
8. Problem Solving	
Secondary school principals are more likely to have support networks and resource bases immediately at hand within school to assist in problem solving	• various specialists are on-site

Table 1: continued

Differences	Reasons
9. Parents	
Parents are much more directly involved and far more influential in elementary schools than they are in secondary schools	• at elementary age, parents are more involved in all aspects of their children's lives • elementary schools generally are closer to and more accessible to the community
10. Post Secondary	
The wide array of destinations for which secondary schools prepare their students make their mission more complicated	• need more diverse program • nature of links with post-secondary institutions • nature of policies to be implemented (e.g., OSIS)
11. Record Keeping	
Elementary principals spend less time on record-keeping activities than their secondary level colleagues	• secondary principals have more "parts" to monitor, co-ordinate and meld together, and their accountability for larger sums of money necessitates their keeping volumes of detailed statistical records

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Section Four

Factors Influencing Principals' Policy Implementation Actions

RESEARCH PURPOSES AND METHOD

The profile of growth in principal effectiveness described in Section 2 provides a framework for determining instructional goals for the pre-service and in-service professional development of principals. It also provides a framework to guide other forms of intervention with principals, such as selection and performance appraisal. The profile, however, does not explain why principals engage in these alternative patterns of practice. Yet, such understanding seems a crucial prerequisite to helping principals become more effective, whatever strategy is chosen. If we do not understand the reasons for existing practices, our chances of helping principals improve such practices are quite limited. The importance of clarifying the reasons giving rise to practice was illustrated in Figure 1, Section 1 of this report.

Several studies aimed at developing this understanding were completed in advance of the research reported in this section (Leithwood and Montgomery, 1984; Trider, 1985; Trider and Leithwood, in press). The most recent of these studies (Trider, 1985; Trider and Leithwood, in press) served as the starting point for the current research. Opinion data were collected from principals concerning the influence a large number "factors" had on the way individuals went about implementing Ontario's special education legislation (Bill 82, December 12, 1980). Based on two extensive literature reviews (Leithwood and Anderson, 1983; Trider, 1985), seventy-one factors with a potential for influencing principals' actions were identified as the focus for questionnaire responses. These factors concerned: (a) the policy specifications; (b) the political and organizational context in which implementation was to take place; and (c) the personal context of the principal (e.g., beliefs, knowledge, prior experiences). Relationships were examined between the reported strength of influence of these factors and the individual principal's dominant pattern of practice, size of school, specialized knowledge of the policy and stage in the change process. Results of this study identified a relatively small number of factors as broadly influential and suggested that principals' policy-relevant knowledge was an important determinant of which factors they believed to be of consequence to them.

The current study replicated, in a different policy context (a new policy related to secondary school organization called OSIS rather than Bill 82), a number of aspects of the Trider (1985) study in an effort to examine the external validity of the Trider results. Questions addressed by the study included:

1. How much influence did principals attribute to selected factors in the way they approached the implementation of OSIS?

2. Were differences in the dominant orientation of principals toward OSIS implementation related to differences in factors of influence?

3. Were differences in the perceived favourableness of the condition of factors related to perceived influence of factors by principals?

4. Was the stage in the change process ("early", "at present") related to the extent of influence of factors?

5. Were differences in the perceived degree of OSIS implementation related to differences in the perceived influence of factors?

Given our analyses of OSIS and the results from the Trider study, twenty-seven factors were selected for further study (Appendix B). Questionnaires, with a covering letter and a stamped, return envelope, were mailed to 260 secondary school principals in 33 randomly-selected school systems throughout Ontario. Returns were received from 159 principals or 61 percent of the sample. Results were computer analysed using the revised version of the Statistical Package for Social Sciences (SPSS Inc., 1983).

RESULTS AND CONCLUSIONS

This section reports on the results of the survey for each research question and conclusions drawn from these results. First, an independent summary and analysis of the data from this study is provided. Then the differences between the results of this study and those from Trider and Leithwood (in press) are discussed and possible reasons for the differences that emerged are offered.

Research Question 1: How much influence did principals attribute to selected factors in the way they approached the implementation of OSIS?

This question was addressed without considering background characteristics or other variables. Individual scores for "Influence of factor early in the process" and "Influence of factor at present" were added and the mean scores (maximum = 10.00) for the 27 factors were computed using the FREQUENCIES procedure (SPSS Inc., 1983).

Table 2 reports the rank order of importance for the 27 factors and also indicates the relationship of the factors to their original classification as a Policy Specification factor (SPEC), a Personal Context factor (PC), or a Political and Organizational Context factor (POC). At the time of preparing this report, the size of the difference between means, required to reach statistical significance, had not yet been calculated.

While only four Personal Context factors were among the 27 included in the survey instrument, their overall rankings (2, 4, 7 and 18) suggest that they were considered extremely influential by respondents as they implemented the OSIS policy. The mean influence score associated with these factors was 7.247. Indeed, their importance is likely greater than suggested by these data: the factor which was ranked first in the study reported in Trider and Leithwood (in press) was not included in the survey instrument for this study. Had it been included, prior evidence suggests that it would also have been ranked very high.

Twenty-one Political and Organizational Context factors were included in the questionnaire. These included factors which reside largely within the school (ranked 1, 3, 5, 9, 16, 17, 20, 22, 23, 26 and 27) and those which are to be found within the school system, particularly the central office (ranked 6, 8, 10, 11, 12, 15, 19, 21, 24 and 25). The mean influence score associated with this category of factors was 6.775: there was little overall difference in influence attributed to the within-school factors (mean influence score = 6.679) as compared with the school system factors (mean influence score = 6.871).

Only two factors related to the Policy Specificiation category were included in the survey instrument. These were ranked 13 and 14 with a mean influence score of 7.169 placing them between the other two categories in overall influence.

Viewed from the perspective of those individual factors ranked among the top ten in Table 2, it appears that principals are most influenced by:

- their beliefs regarding the value of change, what is best for their students, and their knowledge of OSIS-related policies;
- their staff's goals for education, willingness to accept direction, involvement in decision making, and ability to implement policy; and
- the importance central administrators attached to policy implementation and support to be found among fellow principals.

These results differ from Trider and Leithwood (in press) only in the influence attributed to the principal's agreement with policy goals. While this factor was ranked 18th in the present study, it ranked 4th in the Trider and Leithwood study. A plausible reason for this distinction is the differing nature of the two sets of goals involved. In the case of the Trider study, the goals for Bill 82 were small in number, extremely clear, and focused on students with special needs including students who historically, in the minds of many, had been treated unfairly by schools. Such goals seem more likely to elicit strong responses among principals than those associated with Circular OSIS which can best be described as multiple, less clear, and focused on the needs of all students. In an interview conducted with the former Minister of Education for a related study (Leithwood et al., 1986), the Honourable Bette Stephenson made a clear distinction between the two sets of policies: Bill 82 focused on legal and moral principles related to the delivery of and access to educational services, while OSIS focused on the redesign and renewal of educational programs. Since the services to be delivered under Bill 82 were new, for the most part, many secondary principals had no predispositions for or against the policy. However, Circular OSIS modified policies which had been in existence over ten years and many secondary principals could be expected to have had well-established views on the relative merits of the new policies compared with those being replaced.

Table 2: Rank Order of Influence of factors

	Factor	Category	Mean
1.	The amount of direction your staff is willing to accept from you	POC	8.082
2.	Your belief about what is best for your students	PC	8.051
3.	Your staff's goals for education within your school	POC	7.979
4.	Your knowledge of OSIS-related policy	PC	7.966
5.	Staff input to decision making in your school	POC	7.959
6.	The attitude of central office administrators to implementing OSIS	POC	7.771
7.	Your opinion of change in general	PC	7.718
8.	The amount of support available to you through contact with fellow principals	POC	7.717
9.	The ability of teachers to implement the policy	POC	7.571
10.	The working relationships between central office administrators and school staff	POC	7.500
11.	Planning undertaken by central office	POC	7.389
12.	The amount of support you received from central office administrators	POC	7.374
13.	The clarity of written statements from the ministry	SPEC	7.361
14.	The clarity of written statements from the board	SPEC	7.324
15.	The value of assistance provided by support personnel from the board	POC	7.322
16.	Your school's past experience with implementing new policies	POC	7.228
17.	The rate of progress of students under the new OSIS policy	POC	7.213
18.	Your agreement with the goals of the new OSIS policy	PC	7.189
19.	The value of in-service sessions provided for principals by the central office	POC	7.166
20.	Opportunities to try different approaches to the implementation of OSIS policy	POC	7.165
21.	The system's past experience with implementing new policies	POC	7.114
22.	The enthusiasm and commitment of your staff to the changes required by OSIS	POC	7.054
23.	The interest of parents in the new OSIS policy	POC	6.713

Table 2: Continued

Factor	Category	Mean
26. The non-human resources available to help in the implementing process	POC	5.904
27. The time available for in-school planning	POC	5.559
24. Monitoring procedures employed by central office administrators	POC	6.669
25. Information you received on your school's progress in implementing the policy	POC	6.503

Research Question 2: Were differences in the dominant orientation of principals toward OSIS implementation related to differences in factors of influence?

Principals were asked to choose from among three alternative courses of action, that which best described how they had approached each of five tasks basic to OSIS implementation. A category was also provided for "Other" responses but these answers were not included in this analysis. Each of the three alternatives was judged, through prior interviews with principals, to be symptomatic of one of three dominant orientations towards practice described by the Profile (Section 2). Figure 3 indicates which items were associated with which orientation. Each item was assigned a number (1, 2 or 3) corresponding to the level of the orientation as specified in the Profile. Using these numbers, each principal's dominant orientation was determined by their mean response score: eleven principals who had a mean response score between 1.0 and 1.6 were designated as being in the "Administrators" category; 116 who had mean responses between 2.0 and 2.8 were designated as being in the "Humanitarian" category; and 25 who had a mean score of 3.0 were designated as being in the "Program Manager" category. On the basis of these data, we would not be able to predict or generalize about these principal orientations beyond the specific OSIS implementation tasks of interest in this study.

The first three columns of data in Table 3 indicate the overall influence attached to each factor by principals classified by dominant orientation to OSIS implementation tasks. An analysis of variance, using procedure ONEWAY (SPSS Inc., 1983), was performed on the responses of these three groups of principals. The right-hand column of Table 3 reports the probability for this test of variance.

Differences in the variance between groups did not reach statistical significance ($p < 0.05$) for any of the factors. A test for the homogeneity of variance was also conducted (Cochrans C) across groups. On the factor related to the influence of the system's previous experience in implementing new policies, the group of principals identified as demonstrating an Administrator's orientation to OSIS implementation were more consistent in rating the influence of this factor higher than the other two groups.

The 27 factors were clustered into the four groups outlined above - Personal Context factors, Political/Organizational Context factors related to the school, Political/Organizational Context factors related to the system, and Policy Specification factors - and an analysis of variance was calculated using these four factor clusters and the three principal orientation groups.

As indicated in Table 4, differences among principal groups on system-based political and organizational factors approached significance ($p < 0.05$). In addition, the Cochran C Test for homogeneity of variance indicated that the variance across groups was significant ($p < 0.01$) and that the group of principals identified as having a Program Manager orientation differed most in rating the influence of these factors low when compared to the group identified as having an Administrator orientation.

	Dominant Orientation		
Basic Task in Implementation	Program Manager	Humanitarian	Administrator
Modification & implementation of courses at advanced, general and basic levels.	I work with teachers and/or dept. heads in modifying and implementing courses of study.	I actively initiate and supervise the modification & implementation of courses of study.	I am not actively involved in modifying and implementiog courses of study - staff committee completes this.
Introduction of courses to meet compulsory credit requirements.	I accept this as part of my responsibility but expect other staff members to assist in the task.	I assume full responsibility for seeing that courses are introduced to meet compulsory credit requirements.	I delegate this responsibility to others.
Development and implementation of co-operative programs.	I worked with a committee drawn from all departments in the school and various community groups to develop such practices.	I developed these practices for our school and expect teachers and department heads to follow them.	I encouraged teachers to work out such practices at the department level.

Figure 3: Basis for Identifying Principals' Dominant Orientation of OSIS Implementation Tasks.

	Dominant Orientation		
Basic Task in Implementation	Program Manager	Humanitarian	Administrator
Work with teachers to help them understand, accept and implement OSIS policies in the classroom	I work with staff to develop plans for implementing and periodically monitoring the results.	I collaborated with dept. heads to help them resolve problems their staff were experiencing in implementing the policy.	I provided staff with copies of the policy and told them to be sure to implement those aspects which were relevant to them.
Preparation of a student code of behaviour.	I worked with a committee composed of parents, students, and teachers to prepare this code.	I prepared a code of student behaviour with some input from vice-principals and dept. heads.	I assigned the task of preparing a code of student behaviour to a staff member and gave assistance when necessary.

Figure 3: continued

Table 3: The Influence of factors as Perceived by Principals with Different Orientations toward OSIS Implementation Tasks

Factor[10]		Administrator (n=11)	Humanitarian (n=116)	Program Manager (n=25)	F Probability
1.	Amount of direction your staff is willing to accept from you	8.4545	8.1239	7.6957	0.1131
2.	Your beliefs about what is best for your students	8.5455	8.0288	7.9091	0.4853
3.	Your staff's goals for education within your school	7.9091	8.0459	7.6957	0.4438
4.	Your knowledge of OSIS-related policy	8.3636	7.9744	7.7000	0.3480
5.	Staff input to decision making in your school	8.0909	7.9646	7.8696	0.8380
6.	Attitude of central office administrators to implementing OSIS	7.8889	7.7895	7.6190	0.8218
7.	Your opinion of change in general	7.9000	7.6818	7.8182	0.8076
8.	Support available to you through contact with fellow principals	7.7778	7.7456	7.5455	0.7883
9.	Ability of teachers to implement new policy	8.0909	7.4752	7.3043	0.2503
10.	Working relations between central office administrators and school staff	8.0000	7.5086	7.1905	0.3708
11.	Planning undertaken by central office	7.600	7.3717	7.3810	0.8932
12.	Amount of support received from central office administrators	8.0909	7.3846	6.9545	0.1121
13.	Clarity of written documents from the Ministry of Education	7.7500	7.3772	7.1364	0.5414
14.	Clarity of written documents from board	7.5000	7.3097	7.3182	0.8969

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[10] The order used to report on factors in Tables 3, 5, 6 and 7 is the same as the rank ordering used in Table 2.

Table 3: continued

Factor	Administrator (n=11)	Humanitarian (n=116)	Program Manager (n=25)	F Probability
15. Value of assistance provided by board support personnel	6.9545	7.3793	7.4545	0.3444
16. School's past experience with implementing new policies	7.2000	7.2368	7.1818	0.9822
17. Rate of progress of students under OSIS policy	7.4000	7.1810	7.2857	0.8578
18. Your agreement with goals of OSIS policy	7.0000	7.2411	7.0000	0.7286
19. Value of in-service sessions provided for principals by central office	6.8182	7.2212	7.0476	0.7019
20. Opportunities to try different approaches to implement OSIS policy	7.2222	7.1852	7.0455	0.8846
21. System's past experience with implementing new policies	7.900	7.0357	7.1667	0.1738
22. Enthusiasm and commitment of staff to changes required.	7.3636	7.0708	6.8261	0.5767
23. Interest of parents in new OSIS policy	6.6667	6.7027	6.7826	0.9407
24. Monitoring procedures employed by central office administrators	6.8182	6.6780	6.5455	0.8633
25. Information received on your school's progress in implementing policy	6.5455	6.5045	6.4762	0.9908
26. Non-human resources available to help in implementing process	5.5556	5.9808	5.6818	0.5686
27. Time available for in-school planning	5.3333	5.6786	5.0455	[illegible]

Table 4: The Influence of Clustered factors as Perceived by Principals with Different Orientations toward OSIS Implementation Tasks

Factor	Administrator (n=11)	Humanitarian (n=116)	Program Manager (n=25)	F Probability
Personal Context	7.4545	7.1933	7.4318	0.7276
Political & Organizational Context -- School-based	6.6777	6.7142	6.5076	0.8120
Political & Organizational Context -- System-based	7.0636	6.9824	6.2292	0.0607
Policy Specification	6.2273	7.2478	7.2273	0.0317* *$p < 0.05$

The analysis of variance for Policy Specification factors indicated that the three groups of principals differed in reported mean scores to a significant level ($p < 0.05$). In addition, the Cochran C test for homogeneity indicated that the group of principals identified as having a Humanitarian orientation differed most in rating the influence of these factors high when compared to the group identified as having an Administrator orientation.

We interpret these results as meaning that those with a Program Manager orientation rate system-based factors as having relatively less influence than those with an Administrator orientation and that those with a Humanitarian orientation are most inclined to prefer clearly-specified policies, perhaps because clearly-specified policies clear the way for increased concentration on school-related and interpersonal concerns.

These data provide modest support for the claim that principals with different orientations toward OSIS implementation are influenced by different factors. Trider (1985), on the other hand, reported significant differences among groups of principals with different orientations on 18 (of 71) factors. The major similarity in the two sets of data is the tendency for principals with an Administrator orientation to be more influenced than others by organizational factors outside their schools. As Trider and Leithwood (in press) suggest, it may be that:

> These principals are most influenced by a series of organizational context factors emphasizing a strong central office presence. Administrators, in allowing teachers to make their own decisions, consider it important to have opportunities to make decisions at the local level and to receive support from central office personel. Administrators also look to central office supervisors, support personnel and fellow principals for support and reinforcement of their decisions.

Research Question 3: Were Differences in the Perceived Favourableness of the Condition of Factors Related to the Perceived Influence of Factors by Principals?

For each factor, the survey instrument asked principals for four responses. Two responses concerned the state or condition of the factor (non-existent, very poor, moderate, sufficient, more than sufficient) both "early in the process" and "at present". The influence of the factor was also rated (from strongly negative to strongly positive) at both times. These ratings were used to determine the extent of the relationship that existed, in the principals' view, between influence and favourableness of condition of each factor. We were interested in determining whether the existence of a factor under favourable conditions would be associated with a high degree of influence of that factor on policy implementation, for example, would a positive perception about the ability of teachers to implement the policy (high degree of favourableness) be positively related to a high degree of influence of that factor?

Table 5 provides three sets of data which help answer this question. Using the procedure PEARSON CORR (SPSS Inc., 1983), correlations were calculated between condition and influence ratings for each factor early in the process (column one of Table 5), at present (column 2), and combined condition and influence ratings from both early and at present in the process (column 3). The correlations range from about 0.43 (factor 16, column 2) to about 0.80 (factor 18, column 2). Of the 81 correlations calculated between strength of influence and condition of the factor, all were statistically significant at the $p < 0.001$ level. These results, like those of Trider and Leithwood (in press), support the general proposition that as the state or condition of a factor is perceived to increase in its favourableness, so too does its perceived influence on principals' practices in policy implementation.

Of more practical value than such general results, however, is the identification of factors that are both highly influential overall and sensitive to variation in their condition. Of the ten factors showing the largest overall correlation between condition and strength of influence in Table 5 (in rank order, factors 19, 18, 3, 10, 8, 11, 21, 12, 15 and 1), four are also to be found among the ten most influential factors reported in Table 2:

- factor 3: your staff's goals for education within your school;
- factor 1: the amount of direction your staff is willing to accept from you;
- factor 8: the amount of support available to you through local contact with fellow principals; and
- factor 10: the working relationships existing between central office administrators and school staff.

Table 5: The Relationship between the Perceived Favourableness of the Condition of factors and their Perceived Influence

	Factor	Early Condition related to Early Influence	Present Condition related to Present Influence	Combined Condition related to Combined Influence
1.	Amount of direction your staff is willing to accept from you	0.666	0.655	0.706
2.	Your beliefs about what is best for your students	0.635	0.711	0.699
3.	Your staff's goals for education within your school	0.707	0.656	0.789
4.	Your knowledge of OSIS-related policy	0.667	0.447	0.645
5.	Staff input to decision making in your school	0.621	0.617	0.638
6.	Attitude of central office administrators to implementing OSIS	0.684	0.681	0.701
7.	Your opinion of change in general	0.655	0.609	0.690
8.	Support available to you through contact with fellow principals	0.679	0.732	0.741
9.	Ability of teachers to implement the new policy	0.685	0.590	0.695
10.	Working relationships between central office administrators and school staff	0.763	0.771	0.778
11.	Planning undertaken by central office	0.716	0.717	0.731
12.	Amount of support received from central office administrators	0.705	0.735	0.721
13.	Clarity of written documents from the Ministry of Education	0.609	0.696	0.680
14.	Clarity of written documents from board	0.592	0.636	0.633
15.	Value of assistance provided by board support personnel	0.704	0.640	0.712
16.	School's past experience with implementing new policies	0.567	0.439	0.541
17.	Rate of progress of students under new OSIS policy	0.551	0.523	0.561
18.	Your agreement with the goals of OSIS policy	0.674	0.803	0.789
19.	Value of in-service sessions provided for principals by central office	0.742	0.794	0.798
20.	Opportunities to try different approaches to implement OSIS policy	0.628	0.696	0.703

Table 5: continued

Factor	Early Condition related to Early Influence	Present Condition related to Present Influence	Combined Condition related to Combined Influence
21. System's past experience with implementing new policies	0.671	0.718	0.731
22. Enthusiasm and commitment of staff to changes required	0.592	0.707	0.680
23. Interest of parents in new OSIS policy	0.638	0.677	0.671
24. Monitoring procedures employed by central office administrators	0.658	0.640	0.671
25. Information received on your school's progress in implementing policy	0.631	0.711	0.689
26. Non-human resources available to help in implementing process	0.628	0.646	0.650
27. Time available for in-school planning	0.644	0.694	0.688

Two other factors very similar in their influence and sensitivity to change include:

- factor 12: the amount of support you receive from central office administrators; and

- factor 15: the value of assistance provided by support personnel from the boards.

By way of summary, it appears that agreement with and support for policy implementation among the school staff, fellow principals and central office administrators are perhaps the most crucial variables considered by the principal as they approach the policy implementation problem. In light of these data and those provided in Trider and Leithwood (in press), special emphasis should be given to the working relationships with and support from central office administrators (factors 10 and 15) in efforts to stimulate school level policy implementation.

Research Question 4: Was the Stage in the Change of Process ("Early", "At Present") related to the Extent of Influence of factors

Principals were asked to rate the influence of each factor "early in the process" of OSIS implementation and "at present". Research concerning the change process frequently asserts distinct stages of change: for example, initiation, implementation and institutionalization. Miles (1986) provided evidence to suggest that factors influencing change at each of these stages are different. There is little evidence concerning how such differences manifest themselves in the responses of principals specifically. This research question was addressed by computing the significance of differences in the ratings awarded each factor at the two points in time using the T-TEST procedure (SSPS Inc., 1983).

All 27 factors were rated significantly more influential ($p < 0.001$) "at present" than they were "early in the process", as shown in Table 6. The five factors which increased most in strength from earlier to later in the implementation process included:

- factor 5: your knowledge of OSIS-related policy;
- factor 18: your agreement with the goals of OSIS policy;
- factor 22: the enthusiasm and commitment of your staff to the changes required;
- factor 25: information received on your school's progress in implementing policy; and
- factor 15: value of assistance provided by board support personnel.

With the exception of factor 5 which was ranked high overall (see Table 2), these factors shifted from a position of moderate to low influence early in the process to a relatively strong position of influence later.

Results suggest, in sum, that the factors take on greater importance, in the principal's view, as efforts to implement the policy proceed. This is particularly the case with respect to factors concerned with the internal operation of the school and the assistance for in-school activity available through support personnel from the board. Although the specific factors that are awarded greatest increase in influence are different, the overall importance attached to the school's internal operation reflects the findings of Trider and Leithwood (in press). Clearly, principals are strongly influenced, in particular, by their estimate of the value of assistance provided by support personnel from the board.

Research Question 5: Were Differences in the Perceived Degree of OSIS Implementation related to Differences in the Perceived Influence of factors?

The survey instrument asked principals to rate (on a 4-point scale) the extent to which OSIS requirements and related regulations were being implemented in their schools. Correlations were calculated between these ratings and the importance awarded each factor early and later in the implementation process using the T-TEST procedure (SPSS Inc., 1983).

Table 7 reports correlations between implementation ratings and influence ratings "at present" in the process. Twenty-four of the 27 correlations were positive: as ratings of implementation increased so did the reported influence of these 24 factors. Seven correlations were statistically significant (factors 11, 12, 13, 16, 19, 21, 24). In all but the case of factor 16 (your school's past experiences with implementing new policies), these factors focus on actions taken outside the school, primarily by those in the central board office. The only exception to this focus was factor 13 which concerned the clarity of policy-related documents provided by the Ministry of Education.

These findings provide an intriguing contrast to the results reported for the previous question. In the data reported in Table 6, factors which existed largely within the school took on greater importance as implementation proceeded; in Table 7 factors which exist largely within the larger school system are more significant to full implementation policy. How do we make sense of these two sets of findings? The unstructured comments written on the survey provide some clues to this question, but our answer is tentative at this point. Principals appear to recognize that as a policy document, OSIS can be interpreted at two levels. Level one concerns the administrative and organizational demands placed on schools (e.g., credit requirements, school calendars, code of student behaviour). These demands could be met quite directly through actions by the principal and, although requiring some effort, could be implemented relatively quickly. We speculate that many principals had this level of policy interpretation in their schools. Further, the support, planning, in-service sessions, and other services provided by central office staff seem likely to have focused on these level-one type changes.

The second level of interpretation of OSIS concerned the implications of the policy for instructional and curricular changes in schools (e.g., developing programs at three levels which actually meet the needs of students, establishing co-operative education programs, promoting self-discipline). Such changes are clearly more complex and require a much longer period of time to implement than do changes at the first level of policy interpretation. Internal school factors are crucial to the success of the second-level changes.

Although not statistically significant, the negative correlations shown in Table 7 for factors 2, 5, and 17 are consistent with this explanation. In particular, the negative relationship between degree of implementation and beliefs about what is best for students and student progress mirrors written comments from principals questioning the benefit of some changes, introduced by OSIS, to the welfare of students.

Table 6: Changes in the Influence of factors from Early to Later in the Implementation Process

Factor	Amount of Change from "Early" Influence to Influence "At Present"
1. Amount of direction your staff is willing to accept from you	0.1633
2. Your beliefs about what is best for your students	0.1533
3. Your staff's goals for education within your school	0.1748
4. Your knowledge of OSIS-related policy	0.5068
5. Staff input to decision making in your school	0.1757
6. Attitude of central office administrators to implementing OSIS	0.2014
7. Your opinion of change in general	0.1972
8. Support available to you through contact with fellow principals	0.2138
9. Ability of teachers to implement the new policy	0.3333
10. Working relationships between central office administrators and school staff	0.3108
11. Planning undertaken by central office	0.2083
12. Amount of support you received from central office administrators	0.2400
13. Clarity of written documents from the Ministry of Education	0.2083
14. Clarity of written documents from board	0.1793
15. Value of assistance provided by board support personnel	0.3960
16. School's past experience with implementing new policies	0.3767
17. Rate of progress of students under new policy	0.2279
18. Your agreement with the goals of OSIS policy	0.4476
19. Value of in-service sessions provided for principals by central office	0.2138
20. Opportunities to try different approaches to implement OSIS policy	0.3022
21. System's past experience with implementing new policies	0.1857
22. Enthusiasm and commitment of staff to changes required	0.4422
23. Interest of parents in new policy	0.2098
24. Monitoring procedures employed by central office administrators	0.2053
25. Information received on your school's progress in implementing policy	0.4196
26. Non-human resources available to help in implementing process	0.3037
27. Time available for in-school planning	0.2028

Table 7: The Relationship of Perceived Degree of OSIS Implementation and Influence of factors

Factor	Correlation between Degree of OSIS Implementation and Influence of factors
1. Amount of direction your staff is willing to accept from you	+0.124
2. Your beliefs about what is best for students	-0.106
3. Your staff's goals for education in school	+0.065
4. Your knowledge of OSIS-related policy	+0.194
5. Staff input to decision making in school	-0.034
6. Attitude of central office administrators to implementing OSIS	+0.068
7. Your opinion of change in general	+0.124
8. Support available to you through contact with fellow principals	+0.089
9. Ability of teachers to implement new policy	+0.077
10. Working relationships between central office administrators and school staff	+0.140
11. Planning undertaken by central office	+0.224**
12. Amount of support you received from central office administrators	+0.173*
13. Clarity of written documents from the Ministry of Education	+0.280**
14. Clarity of written documents from board	+0.045
15. Value of assistance provided by board support personnel	+0.092
16. School's past experience with implementing new policies	+0.282***
17. Rate of progress of students under new policy	-0.019
18. Your agreement with the goals of OSIS policy	+0.064
19. Value of in-service sessions provided for principals by central office	+0.210**
20. Opportunities to try different approaches to implement OSIS policy	+0.077
21. System's past experiences with implementing new policies	+0.279***
22. Enthusiasm and commitment of staff to changes required	+0.148
23. Interest of parents in new policy	+0.139
24. Monitoring procedures employed by central office administrators	+0.236**

* $p < 0.05$
** $p < 0.01$

Table 7: continued

Factor		Correlation between Degree of OSIS Implementation and Influence of factors
25.	Information received on your school's progress in implementing process	+0.198
26.	Non-human resources available to help in implementing process	+0.152
27.	Time available for in-school planning	+0.140

* p < 0.05
** p < 0.01
***p < 0.001

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Section Five

Guidelines For Improving The Pre-Service Education, Selection, and Performance Appraisal of Secondary School Principals

INTRODUCTION

This section draws together the results of research carried out in this project, along with other related research, to provide some guidelines for helping to improve the effectiveness of secondary school principals. The guidelines are organized around three strategies for assisting in the improvement of principal effectiveness: pre-service training, procedures for the appraisal of practising principals and selection processes. In the case of each strategy, the starting point is an assessment of limitations in current practices. For the section on approval and selection practices, the intention is to show how the profile of growth in secondary school principal effectiveness (see Section 2) can provide a useful solution to significant problems in present practice.

PRE-SERVICE TRAINING

Guidelines concerning the pre-service training of secondary principals outlined here were developed primarily from research reported in Section 3 of the report. Because that research is to be viewed as quite tentative, these guidelines are offered with some caution. It would be unwise to act on them at least until our additional research, now underway, has been completed (by August 1986).

In the concluding paragraphs of Section 3, attention was drawn to the homogeniety of pre-service experiences offered to those with elementary and secondary school interests. A high proportion of common experiences were viewed as warranted. It was suggested, nevertheless, that refinements in Ontario's pre-service courses to effect more explicit elementary-secondary school principal differences might be carried out through the introduction of several options within these courses.

The four guidelines offered here are intended to serve as a focus for such options:

1. Routine Management Procedures

Secondary school principals need to be able to take advantage of their relatively large, resource-rich schools and avoid being "buried" in routine demands. This would seem to require that they become especially skilled in routine management procedures (e.g. budgeting, timetabling, record keeping) and to be able to establish effective structures within which school staff can solve predictable problems.

2. Counselling Procedures

The complex legal, social and interpersonal problems of students and families that make their way to the secondary school principal's desk suggest that such principals would benefit from intensive training in counselling procedures. Such procedures should help them respond more effectively to problems within the domain of the principal's responsibility and should

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3. Goal Setting and Planning Procedures

Goal setting and planning appears to be a more complex process in a large secondary school because of the number of people who may be involved and the diversified mandate of the secondary school. Secondary school principal preparation would do well to provide extensive training in a variety of methods for setting goals appropriate to different groups of students and planning for their achievement.

4. General Curriculum Process

Goal setting and planning is part of a broader array of general curriculum processes. Both elementary and secondary principals in Ontario require considerable knowledge about and skill in the review, development and implementation of curricula (CRDI). There appear to be differences in the two roles, however, that justify different emphases in respect of these processes.

Given the cadre of staff with specialized curriculum knowledge in their schools, secondary (larger) school principals usually find themselves in the position of stimulating the use of systematic curriculum processes, providing advice about alternative approaches to these processes, and monitoring and evaluating processes in use by staff. This type of activity requires relatively extensive knowlege about how the value of alternative CRDI procedures and criteria may be judged. It does not obviously demand extensive personal skill or require that secondary school principals possess the specialized knowledge needed for the application of CRDI procedures to particular areas of the curriculum. The most suitable general focus for secondary school principal CRDI training, then, appears to be "breadth" and "knowledge".

Elementary (smaller) school principals frequently must provide leadership as well as direct, skilled participation in CRDI processes; to be effective such leadership and participation demands, also, specialized knowledge about at least core areas of the elementary curriculum. Although there are obvious limits to the knowledge and skill of one individual, the elementary curriculum is less specialized and the elementary principal usually has some preparation and personal experience with a significant proportion of it. The importance of specialized curricular knowledge is likely to vary as a function of the support personnel, other than the principal, available to teachers. School systems differ widely in this respect. Training for elementary school principals, then, should provide significant skill development in at least one set of CRDI procedures and assume substantial curricular knowledge.

PRINCIPAL SELECTION PROCEDURES

Relatively little research is available describing how either secondary or elementary school principals are typically selected for their role. The picture painted here of such selection procedures is based on the results of two recent studies. One of these studies described the selection of headteachers for "maintained secondary schools" in England and Wales (Morgan, Hall and MacKay, 1983); the other described principal selection processes used in a sample of U.S. school districts (Baltzell and Dentler, 1983).

Four different kinds of data were collected by Morgan et al. (1983) in their study of headteacher selection: interviews, responses to questionnaires, direct observations of selection processes, and analyses of documents. Officers responsible for headteacher selection in 59 of 105 of the LEAs (school districts) in England and Wales were interviewed and the remainder were asked to respond to a questionnaire. Selection processes were observed directly in 26 LEAs.

Descriptions of typical U.S. selection practices (Baltzell & Dentler, 1983) were based on the results of case studies carried out in ten randomly selected, geographically diverse school districts with enrolments of 10,000 or more students. The data were largely collected through interviews.

For the most part, both studies appear to have been well conceived and competently executed methodologically. The study in England and Wales is particularly impressive in the size of its sample and the multiple sets of data collected. The representativeness of ten randomly selected districts from the total population of U.S. school districts is open to considerable doubt. In spite of questions concerning generality, the results of this study are useful for present purposes. There seems little reason to doubt that the selection processes described in the ten districts are similar to an unknown but likely large number of other districts in the U.S. Furthermore, weaknesses in typical selection processes identified in both studies are very similar, in spite of some major differences in cultural and professional contexts. While it is not possible, then, to assume that the same weaknesses exist in Canadian selection processes, it is a "good bet" that they do.

Just what weaknesses do appear to exist in typical principal selection processes? The central and primary weakness, emerging from both studies, was the absence of well-specified selection criteria based on the nature of the principal's job. As Balzell and Dentler (1983) comment:

> For instance, in one district the top decision makers all spoke with sincere intensity about the primacy of finding the best educational leaders. Yet when pressed, none could specify what basic training or experience requirements this need generated for candidates (p.6).

Similarly, Morgan and his associates (1983) noted that:

> . . . the selectors of secondary heads in England and Wales operate without clear specification of the job to which they are appointing and use individual impressions of what they think is important (p.19).

In excerpts from selector discussions, this study provides many examples of what substitutes for clear, job-related criteria in practice:

> "Very poor letter of application - microscopic handwriting - recommended OUT."
>
> "Is he married?"
>
> "Too long in private education; and he's a physicist."

The criteria used in practice were found, in this study, to be inconsistent and largely irrelevant.

In the absence of well-specified, job-related criteria, personality, interview performance and "fit" in the local context tend to predominate the consideration of selectors. The U.S. study noted, for example:

> . . . this 'fit' seemed to rest on interpersonal perceptions of a candidate's physical presence, projection of a certain self-confidence and assertiveness and embodiment of community values and methods of operation. The fit criterion works heavily against out-of-district candidates, minorities and women (p.7).

The "fit" criterion also works against the selection of candidates capable of carrying out the comprehensive array of generic tasks associated with the principal's role. While short-term concerns and issues may justify the selection of principals with special capabilities, these issues will inevitably change over the usually long duration of the principal's tenure. For this reason basic job competence is a necessary basis for selection, although it may not be the only one.

Lack of well-specified, job-related criteria appears to be at the root of many other shortcomings identified in both the Morgan et al., and Balzell and Dentler studies:

a. data collected in relation to vague or inconsistent criteria are of questionable validity for the purposes of selecting the most effective principals;
b. the fairness and credibility of the selection process is seen to be suspect by those involved in it (or observing it from a distance) when the criteria are unstated and non-public;
c. vague, non-public criteria provide a serious obstacle for those responsible for the pre-service training of principal candidates; they must go to less direct sources to identify the knowledge, skills, and attitudes that are useful to develop;
d. vague, largely unshared criteria, among selectors, reduces the value of feedback provided to unsuccessful candidates. Such feedback is likely to be either excessively abstract or idiosyncratic or both; neither characteristic fosters growth on the part of unsuccessful candidates.

Developing procedures capable of identifying those candidates for school administration positions most likely to be effective is a problem of no mean importance. In the U.S., it is estimated that as many as half of the current principals are between the ages of 55 and 65. We suspect that Canada is very similar in this respect. It is hard to imagine a single intervention strategy more likely to improve the quality of our children's education than systematically selecting the most promising school leaders for over half of our schools, in the next ten years. This in no way denigrates the performance of retiring principals as a group; it simply recognizes that past and many present selection procedures have done little to ensure that those people potentially most able to improve the quality of school experiences for children were appointed to the position.

The profile of growth in secondary school principal effectiveness provides those well-specified, job-related selection criteria. It goes well beyond the usual job descriptions in outlining levels of performance in carrying out a generic set of tasks beginning to be expected of principals. Such criteria substantially increase the possibility of:

- collecting valid selection information;
- increasing the real and perceived fairness and credibility of selection processes;
- providing clear direction for preparation of candidates; and
- generating helpful feedback to unsuccessful applicants.

Availability of the profile, of course, by no means solves all problems involved in effective principal selection. It does not address, for example, the way information ought to be collected (or the amount), how information ought to be used, or the steps selectors should take in summarizing and weighing the information on their way to making a choice. We do not address these problems here since the profile has no special significance in their solution.

There remain, however, three relatively basic issues for which the profile does have implications, at least indirectly. We raise these issues because they seem to be important ones to think about in the development of selection procedures using the profile. There is little in our discussion of these issues, however, likely to be construed as an answer or solution.

The first of these issues centres on the distinctions between "performance:, "competence", and "potential": specifically, how does one weigh one against the other? It seems quite likely, for example, that a group of selectors could be faced with trying to choose between three types of candidates with characteristics as follows:

- experienced principals judged to be performing in their current job at level three on the profile;

- moderately experienced vice-principals with no opportunity to perform some crucial principal tasks but judged to possess the knowledge, skill and attitudes (competences) which would enable them to perform at level three, given the opportunity; and

- teachers with no administrative experience but estimated to have the potential to acquire the knowledge, skills and attitudes which would enable them to perform at level four, given the opportunity.

Which one of these candidates should the selectors choose? In our view, this question can only be answered reasonably by considering two other issues. Perhaps the initial consideration is whether there ought to be minimal performance and/or competency requirements for entry to the role. It would be reasonable, for example, to expect someone without any administrative experience to be quite knowledgeable about the goals of education, effective conditions within most classroom factors and such factor-specific strategies as program planning and development and program monitoring. Their experiences as teachers should have provided sufficient opportunities for this knowledge to have been acquired. It might also be considered reasonable to limit the selection of experienced principals to those judged to be performing at least at level three or better in the current positions.

Finally, weighing the three candidates above requires grappling with the relative costs and advantages of hiring performance (or at least competence) or developing potential. In a "buyers' market", all other things being equal, it would seem to make most sense to hire performance (already high performing, experienced principals). But, of course, all things are never equal: providing incentive to internal staff and creating staff mobility in the schools are examples of the desirability of investing in the development of inexperienced staff who show potential to perform as effective principals. We would caution those choosing this solution, however, to be realistic in their estimate of the availability and costs of the resources for such development. The pre-service and in-service training of school principals is not generally well done, at present.

PERFORMANCE APPRAISAL PROCEDURES

"Typical" procedures for appraising the performance of school administrators, as described in this section, are based on a recent study of appraisal practices in a stratified random sample of 30 school systems in Ontario (Lawton et al., 1986). Relevant to our present purposes are the responses of approximately 800 elementary and secondary principals, from both public and separate school boards, to questions concerning their own appraisal. More specifically, these questions explored the purposes for appraisal, characteristics of each component or step in the appraisal process, problems evident to principals in the process and the extent to which the results of appraisal effected subsequent performance.

Some eighteen purposes for appraisal were identified by principals in this study. The least frequently identified purposes concerned adminstrative decision making (for example, qualifying for salary increments, recommending first year principals for permanent principal positions). These kinds of purposes were identified by fewer than 8 per cent of the respondents. On the other hand, the most frequently identified purpose had to do with "complying with ministry or board policy" (74 per cent). Purposes closely aligned with the improvement of principal effectiveness fell between these two extremes. For example, 26 per cent of respondents cited "to identify in-service training needs" and 35 per cent identified "to clarify the principal's role". Our conclusions from these data are the obvious ones: only about one-third of the principals in this study viewed improved principal effectiveness as a goal of the performance appraisal systems in which they were involved. If they are correct, improved principal effectiveness is, at best, an unintended by-product of two-thirds of the performance appraisal systems in the study sample.

Components of the appraisal process to which principals were asked to respond included pre-appraisal activities, criteria for appraisal, standards for evaluation, methods of data collection, reporting and follow-up. The components relevant to our present purposes are criteria and standards. Twenty-two criteria were identified. Data about these criteria were analysed separately and formed four categories of criteria: one of these categories focused on improving school effectiveness and included seven specific items. About 60 per cent of principals, on average, believed criteria in this final category to be a part of their appraisal. The specific criteria and frequency of responses are shown in Table 8.

Given the purposes reported for appraisal, there are a surprising number of school effectiveness-related criteria and a relatively large proportion of principals indicating use of them in their own appraisal. We do not know, however, the weight attributed these criteria relative to those in other categories. Further, depending on the specific criterion, somewhere between about 30 and 60 per cent of principals reported no such criteria used in their appraisal. Perhaps the most fundamental problem with these criteria, however, is that they all concern a single dimension of the principal's behaviour, the overt actions and strategies engaged in by principals.

Table 8: Specific "School Effectiveness" Criteria Used in the Appraisal of Principals

Criteria	Percentage of Principals (N=556)
Program development	69.4
Program implementation	71.4
Program evaluation	66.5
Parent involvement	54.9

Table 8: continued

Criteria	Percentage of Principals (N=556)
Staff evaluation	71.6
Innovative activities	49.3
Assessing individual student needs	40.8
Other	4.9

Table 9 identifies the way in which standards for evaluating principals' performance were set and the per centage of principals identifying each as used in their own appraisal.

Table 9: Methods for Setting Standards to Use in Evaluating Principal Performance

Method	Percentage of Principals (N=550)
Standards set by board policy or guidelines	12.2
Standards set by appraiser	25.3
Standards set by appraisee	2.7
Standards set collaboratively between appraiser and appraisee	43.1
Do not know	16.7

The dominant method of setting standards is some form of collaboration between principals and their appraisers: 43.1 per cent of principals identified this method. Standards were rarely set by the principal alone but appraisers were perceived to establish such standards alone in about a quarter of the cases. Interestingly, a good many principals (16.7 per cent) did not know how standards were set. These results suggest that, much of the time, standards for principal performance are either considered to be negotiable or are not available for scrutiny and reflection.

Principals identified eight types of problems with the procedures used in their own appraisal. As evident in Table 10, no single problem stands out from the others in principals' minds. "Lack of detail" and "Do not help clarify roles", however, are problems particularly relevant to our present purposes. These problems suggest that the feedback given principals about their performance is perceived by a significant minority to lack enough specificity on which to base concrete plans for professional improvement. Further, the feedback which is provided may not be generated from a clear conception of the principals' role.

Table 10: Problems Identified by Principals in the Appraisal of their Performance

Problems	Percentage of Principals (N=695)
Lack of detail	27.2
Not followed in practice	21.6
Require excessive conformity to one model of what it means to be a "good" principal	19.6
Do not encourage creativity	12.4
Do not ensure fairness	16.0
Do not help clarify roles	20.4
Inadequate support documents	26.8
Other	20.0

Finally, a majority of principals reported that they took their appraisals "very seriously" (59.2 per cent); 37 per cent took the appraisals "somewhat seriously". On the other hand, more than 85 per cent of principals received what they believed to be sincere praise of their work and reported only a modest amount (24.7 per cent), a small amount (31.8 per cent) or no improvement (18.5 per cent) in their performance as a result of their last appraisal. Our conclusion from these data is that most appraisals of principals, while taken seriously enough, generate reinforcement for their current practices and provide little concrete direction for improvement.

Focusing the intentions for the performance appraisal of principals on improving their effectiveness is the obvious starting point for turning performance appraisal into a more powerful instrument for change. It seems unlikely that school systems or individual supervisors of principals have any objections, in principle, to the use of appraisal predominantly for this purpose. In the absence of the profile, (see Section 2) or something comparable, however, assigning greater weight to such a goal, in relation to other goals for appraisal, creates the risk of being pressed to specify what is meant by principal effectiveness without having a clear, defensible and ready answer. The simple existence of the profile seems likely to reduce this risk to an acceptable level.

Criteria used for appraisal are those dimensions of a principal's practices the appraiser considers worth describing. Choosing dimensions for principal practice that have little effect on the school means that the appraisal as a whole will be irrelevant, for improvement purposes, no matter how well other components of the appraisal are carried out. It is crucial, then, that selected dimensions of practice used as criteria be demonstrably linked to impact on the school. It is also crucial that a comprehensive set of such dimension be identified. The dimensions and sub-dimensions of the profile fulfil these requirements quite well.

Descriptions of principal practice, developed through the collection of some set of data about selected dimensions of practice, are raw information standing on their own. These data are turned into decisions or judgements about performance by comparing them to some image of effective principal practice. As we have seen, these images often remain tacit in typical appraisals or are considered negotiable. Effective practice, however, is not negotiable. The four levels of effectiveness identified in the profile provide an escalating set of standards useful in judging a principal's performance. These levels are explicit, their validity has been described and the extent of description of each allows very concrete feedback to be given to principals about performance improvement once their current level of performance is known. Profile-based feedback about principal performance can be calibrated, as well, so that expectations for growth are manageable.

Finally, profile-based feedback seems likely to provide principals with greater clarity about their roles, a problem associated with many conventional appraisal systems. This is the case, since such feedback emanates from an overall conception of the principal as information processor and the systematic problem solver as the most effective type of principal.

CONCLUSION

Pre-service education, selection and performance appraisal processes constitute the most readily available strategies for improving secondary principal practices in Ontario. This attempt to identify guidelines for carrying out these processes more effectively has been premised, in part, on what we know about limitations in existing processes and, in part, on the results of the research carried out in the context of this project. The guidelines, as a whole, "mine" the potential for practical action available in the description of growth in secondary principal effectiveness (Section 2). In the case of pre-service training, this profile provides a framework, common to both elementary and secondary roles, for developing programs to directly address necessary principal knowledge and skill: additional data and comparison with the companion elementary profile are a source of information about the special training needs of secondary principals.

In the case of appraisal and selection processes, the dimensions and levels of practice described by the profile provide criteria and standards needed as a basis for judgements central to both sets of processes.

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Section Six

Guidelines for Improving the In-Service Education of School Principals

Research Purposes and Method[11]

There is about to be an unprecedented exodus of Canadian principals from their positions. In Canada's most populous province (Ontario), for example, more than 35 per cent of principals become eligible to retire within ten years. In the province of Alberta, over the same period about 30 per cent become similarly eligible.[12] Such an exodus will place existing principal selection and training processes under especially heavy scrutiny. This is particularly so in light of recently accumulated evidence concerning the significant effects skilled principals are capable of having on the effectiveness of their schools (e.g. Willower and Smedley, 1981; Ogawa and Hart, 1983; Stallings, 1982; Crandall and Loucks, 1983). Indeed, selection aside, "training the principal" offers itself as perhaps the most compelling single strategy for school improvement likely to be available in the decade ahead.

The professional education of Canadian principals is, at present, a diversified and usually uncoordinated activity: it is sponsored by universities, specialized in-service agencies, teacher and trustee associations, provincial governments, school systems; such education is also acquired by individual principals themselves in part through their on-the-job experiences. Competition for control of such education suggests that it is likely, in the forseeable future, to remain diversified. Furthermore, serious shortcomings are evident in relation to most of these sources of principal education.

University programs, for example, are traditionally viewed by practising administrators as "too theoretical", unrelated to their real problems (e.g. Pitner, this volume; Thomas, 1983). In addition, while graduate training programs are becoming increasingly a part of principal preparation, it is still the case that a large proportion of the principal population has not had such training. In 1981 this was the case for about 70 per cent of all principals in Alberta (Seger et al., 1981) and beginning principals in British Columbia (Newberry, 1981): in 1984, 40 per cent of Ontario principals were without a graduate degree (Lawton et al., 1986). This condition may prevail well into the future.

Ministries of Education in only two Canadian provinces (Ontario and Nova Scotia) make provision for formal preparation courses for eligibility to become a principal. Yet the importance of pre-service education is emphasized by the lack of what might be considered a reasonable substitute - relevant job experiences. Canadian prinicpals, for the most part, bring to the position a very narrow range of job experiences appropriate to the now widely advocated curriculum and instructional leadership image of the effective principal. For example, in Alberta fewer than eight per cent of current principals have passed through the roles of consultant or curriculum co-ordinator. Usually only secondary school principals experience department headship duties. The typical career path for Canadian principals is from teacher to vice-principal to principal.[13]

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[11] This section of the report, moderately revised, will appear as a chapter in Leithwood et al., eds. Preparing Principals for School Improvement: An International Assessment. London: Croom-Helm, 1986.

[12] These estimates are based on data reported in Lawton et al. (1986) for Ontario, and Seger, Miklos and Nixon (1981) for Alberta.

It seems reasonable to conclude, even from this cursory analysis, that school systems themselves are an important source of potential principal in-service education. On the one hand, they carry the bulk of responsibility for ensuring implementation of programs and practices to meet the changing and increasingly complex needs of their students; on the other, they appear to be uniquely well-positioned to provide the kind of sustained, co-ordinated, long-term professional development principals will require if they are to optimally contribute to these student needs. A principal's school and school system provide the problems against which the value of new ideas are judged and the context for assessing the practicality of innovative procedures. The principal's school system is also the most likely source of role models, colleagues, advisors and ongoing professional coaching; it is certainly the central source of a principal's intrinsic and extrinsic professional rewards, over which it exercises considerable control. And finally, although this assertion is no doubt contentious, school systems are likely able to create more resources for principal development, at the margins of their budgets, than are available to other agencies which are more traditionally considered responsible for such development. From our perspective, then, the "train the principal" strategy for school improvement seems likely to depend, for a substantial amount of its impact, on the responses of local school systems.

Very little basic, descriptive information is available concerning school system-sponsored in-service education for Canadian principals. What is available has a provincial focus as, for example, Kelsey and Leullier's (1978) study of school system training policies in British Columbia. The study reported in this chapter was designed as one step toward providing a better profile of existing Canadian school system responses to the professional development needs of principals. It was among the first of a number of research and development initiatives focused on principal education - pre-service, in-service, graduate studies - planned by the new Centre for Principal Development housed in the Ontario Institute for Studies in Education. We were curious to find out the nature and extent of principal in-service programs formally offered by Canadian school systems, whether such in-service varied in significant ways across the country and, if so, why. Although the study was not primarily evaluative in intent or design, we were also interested in tentatively exploring the extent to which claims frequently made about administration in-service, in general, were characteristic of principal in-service in Canadian school systems. Silver and Moyle (1984) assert:

> Most continuing education programs for school administrators are in the form of short workshops focusing on topics purportedly needed by

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[13] As reported for Alberta by Seger, Miklos and Nixon (1981).

> participants immediately following the workshops. The workshops are usually unrelated to
>
> each other, unsequenced, conducted without reference to research about pedagogy, and oriented toward topical content rather than skills. As Hunt (1978) remarked, teacher in-service programs are more entertainment than education, and bad entertainment at that. The same might be said of administrator in-service programs (p.18).

Framework For The Study

Silver and Moyle (1984), like many others, are sceptical about the quality and impact of much in-service education. However, there are a few encouraging reports of in-service programs that have had a convincing, measurable impact on principal participants and their schools (e.g. Hord and Thurber, this volume; Gerald and Sloan, 1984; Silver and Moyle, 1984). For the most part, these programs have been designed with what is known about effective in-service education explicitly in mind. The framework for our study was developed from such knowledge. It consists of those components of an in-service program claimed to be related to the effectiveness of the program. The preferred condition of each component is identified and the components are clustered into three categories suggested by Sparks (1983) - context, training process and goals content.

These categories of in-service program components conceptualize in-service education as a nested process. Context includes elements of the environment, within which the training process occurs and likely to have a noticeable effect on the process. The training process consists of a number of actions, usually overt, taken to accomplish some set of ends. Goals and content specify the ends to which such actions are aimed and the vehicles (content) within which those ends have meaning.

Daresh and LaPlant (1984) identified 507 theses and 400 journal articles concerning in-service education reported between 1977 and 1983: the literature is enormous. Our strategy for identifying crucial program components and their preferred conditions from this literature was to rely on six recent research syntheses including Daresh and LaPlant (1984), Hutson (1981), Silver and Moyle (1984). The Florida Council on Educational Management (1985), Sparks (1983) and Gall (1983). The first four of these reviews were focused on administrator in-service education; the first two, substantially more systematic and thorough than the remainder, were relied on most. Sparks (1983) and Gall (1983) identified several characteristics of effective teacher in-service programs readily transferable to principal in-service programs.

Our analysis of the six research reviews resulted in identification of the following 18 crucial program components and their preferred conditions, distributed among Sparks' three categories:

1. Context:

1.1 Time: appropriate to the goals of in-service but normally extensive and at well-spaced intervals (several weeks to a month);

1.2 Relationship to system plans: part of a long-term, systematic staff development plan;

1.3 Relationship to outside agencies: includes collaborative arrangements with universities and/or their outside agencies to provide support;

1.4 Support by senior administration: clearly demonstrated valuing of the in-service by provision of adequate budget, attendance, and the requirements for participation;

1.5 Rewards: the in-service should be intrinsically satisfying and such extrinsic rewards as the use of school time and paid expenses should be provided;

1.6 Climate for learning: a non-threatening environment that encourages experimenting with new ideas and practices as well as protection from outside disruption;

1.7 Location: some aspects of the in-service should be close to or in the principals' own schools.

2. Training Process:

Instruction

2.1 Techniques: should model good teaching and administration and actively involve participants in learning process;

2.2 Relationship to goals: techniques should be appropriate to the categories of goals (e.g. knowledge, skill, attitude) to be achieved;

2.3 Instructors: competent, acceptable to participants, and readily viewed as credible;

2.4 Follow through: opportunities for simulated and real practice with feedback and coaching when appropriate.

Evaluation

2.5 Purposes: to assist with planning and subsequently implementing programs;

2.6 Criteria: the goals of the program - likely to include the personal growth of participants and their impact on their schools;

2.7 Design: ongoing, involve participants.

3. Goals and Content:

3.1 Nature and Source: based on tasks and competences required for effective job performance, assessed needs of participants and organization;

3.2 Sequence: based on a conception of growth in competence in the role;

3.3 Expression: clear and specific;

3.4 Identification process: collaboration with in-service clients, providers and relevant constituencies.

Resources for the present study prevented us from exploring Canadian principal in-service programs in relation to this entire framework. Some components of the framework could not, in our view, be adequately addressed through a survey. In addition, not all components in the framework suitable to survey could be included because of what we judged to be reasonable limits on the length of the instrument we developed. Nevertheless, the only components not addressed in any fashion were: 1.2 Relationships to system plans, 1.5 Rewards, 1.6 Climate for learning, 1.7 Location, 2.5 Purposes of evaluation.

In addition to descriptive data based on the components of in-service identified in our framework, data were collected about three "demographic" variables we intuited might help account for variations among school systems in the nature of their in-service programs; the size of each of the school systems (numbers of students), nature of the region (rural, rural-urban, urban), and the province in which each school was located.

Method

Using the Canadian Education Association's Handbook (1985) a random sample of 30 per cent of school systems was selected from each of eight of Canada's ten provinces. All five school systems in Prince Edward Island (PEI) were included in the sample; only four English school boards in Quebec were selected because we did not have the resources to translate our questionnaire into French. The total sample size was 176 school systems. In each school system, the questionnaire was sent to the chief executive officer ("Director" or "Superintendent") or to another senior administrator whose title suggested responsibility for administrator in-service education (e.g. Assistant Superintendent of Human Resources). A personally addressed letter accompanied each questionnaire as did the offer to share a copy of the results of the survey on request.

The questionnaire included 17 fixed-choice items and one open-ended question (regarding topics included in the in-service). Thirteen items concerned components of the in-service program and five focused on demographic variables (e.g. school size, region). Early drafts of the questionnaire were field tested with six people, and revised.

Frequencies and percentages of responses to all items were calculated. The relationship between each of the demographic variables (province, region and size of school system) and components of the in-service programs were explored using chi-square and Somers's D statistics, as appropriate.

RESULTS

One hundred and twenty-nine school systems of the one hundred and seventy-six included in the sample returned useable questionnaires (a response rate of approximately 73 per cent). No systematic bias related to province, school size or region was evident among those who did not respond. Almost all respondents requested a copy of our report and many sent supplementary material or letters, reinforcing our impression that completing the questionnaire usually was done quite carefully.

Results of the survey are reported using the three categories of in-service components described in the framework for the study; context, training process, and goals and content.

Context For In-Service Education

Table 11 outlines responses to seven questions which focus on three elements of the context that appear from previous research to influence the effectiveness of principal in-service education. These elements include the degree of compulsion to attend, the composition of the participant groups (both related to component 1.4 in the framework), nature of instructors (component 1.3), and time available for instruction (component 1.1).

Typically, principals are required or strongly encouraged to attend board-sponsored in-service (about 75 per cent of the cases) and they do so with their principal colleagues from the other panel, vice-principals and central office administrators, as well. No single category of in-service instructor dominates boards' choices to conduct the in-service; university faculty, school system staff - both principals and those from other roles - and staff from other systems are frequently chosen. Principals and staff from other school systems are favoured slightly more frequently over other groups. Over the 1984-85 school year, the typical school system spent a total of two days to one week on principal in-service (79.8 per cent of cases). Only 14 per cent devoted more than one week and less than 5 per cent devoted less than a day. A typical, single, in-service session was likely to last a day or less (78.3 per cent of cases) although a significant minority of boards (17 per cent) reported using two or three days or longer.

Significant differences ($p < 0.05$ unless otherwise stated) in selected elements of the in-service context were evident depending on province, nature of region served, and size of the school system. Provinces differed in the extent to which elementary and secondary school principals participated together. In most provinces elementary and secondary school principals often met together. In Saskatchewan, Manitoba, and Quebec, principals always met together in the majority of school systems. Ontario showed greater variation. Of the 31 Ontario boards in the sample, 8 reported that elementary and secondary school principals always met together, 11 often did, 9 occasionally did, and 3 never did. Provinces also differed ($p < 0.10$) in time devoted to each in-service session with British Columbia, New Brunswick, Nova Scotia and PEI using less than the one day typical of the remaining provinces.

Three elements of the in-service context differed depending on the nature of the region in which boards were located. Significantly more rural boards, as compared with urban and rural urban boards, encouraged or mandated attendance, always had participation by central office administrators, and always involved elementary and secondary school principals together in the in-service. A large proportion of small boards are also rural. It is not surprising, then, to find the same differences in relation to attendance and combined elementary-secondary school principal participation between small and large boards as there were between rural and other boards.

Table 11: Context for Principal In-service Education

	Frequency	Percentage
1. Attendance at in-service		
1.1 voluntary	3	2.3
1.2 strongly encouraged	45	34.9
1.3 mandatory	51	39.5
1.4 varies	28	21.7
2. Joint participation, elementary and secondary school principals		
2.1 always together	53	41.1
2.2 often together	58	45.0
2.3 occasionally together	14	10.9
2.4 never together	3	2.3
3. Vice-principal attendance		
3.1 always together	52	40.3
3.2 sometimes	58	45.0
3.3 never	14	10.9
4. Central office administrator attendance		
4.1 always together	86	66.7
4.2 sometimes	32	24.8
4.3 never	2	1.6
5. In-service instructors		
5.1 principals	74	57.4
5.2 in-system, non-principals	54	41.9
5.3 staff from other school systems	73	56.6
5.4 university faculty	64	49.6
5.5 other	53	41.1

Table 11: continued

	Frequency	Percentage
6. In-service time 1984-85 year		
6.1 less than a day	6	4.7
6.2 2 to 3 days	60	46.5
6.3 about a week	43	33.3
6.4 more than a week	18	14.0
7. Time for single in-service session		
7.1 a half day or less	37	28.7
7.2 about a day	64	49.6
7.3 2 to 3 days	21	16.3
7.4 about a week	1	0.8
7.5 other	5	3.9

Training Process: Instruction and Evaluation

Respondents were asked to identify instructional techniques used during in-service education, selecting from a set of nine provided in the questionnaire (components 2.1 and 2.2 in framework). They were asked for similar information in relation to three types of evaluation techniques (components 2.6 and 2.7). Table 12 summarizes responses to these two questions. In addition to data in Table 12, responses to item five in Table 1 (in-service instructors) also bear on component 2.3 in the framework (competence, acceptability and credibility of instructors) while responses to items five and six in Table 3 are relevant to training component 2.2 in the framework (relationship to goals).

Lectures and small group work were the most frequently identified instructional techniques (approximately 90 and 80 per cent of responses respectively). The use of professional video material, pre-reading and case studies were identified much less frequently (about 50 per cent each), but substantially more often than the remaining techniques. In-basket exercises was the least frequently identified technique.

The majority of boards (65.1 per cent) reported having no formal technique for evaluation of their in-service programs. About half made some use of questionnaires to participants while about a quarter of the respondents reported the collection of some form of observation data.

Small sample sizes prevented us from statistically testing the relevance of province, nature of region, and size of board in accounting for differences among boards in the training process.

Table 12: Training Process: Instruction and Evaluation

	Frequency	Percentage
1. Instructional techniques used		
1.1 pre-reading	66	51.2
1.2 tasks between sessions	42	32.6
1.3 in-basket exercises	31	24.0
1.4 case studies	61	47.3
1.5 lectures	104	80.6
1.6 small group work	115	89.1
1.7 professional video material	66	51.2
1.8 simulation tasks	40	31.0
1.9 practice with feedback	40	31.0
1.10 other	9	7.0
2. Evaluation techniques used		
2.1 informal feedback from participants	84	65.1
2.2 use of participant questionnaires	64	49.6
2.3 observation of in-service sessions	33	25.6
2.4 other	17	13.2

Goals and Content For In-service Education

Table 13 summarizes responses to six questions. These questions concern the overall concept of the role on which in-service is based (framework component 3.1), the dominant goal for in-service (component 3.2), and who determines the objectives (components 3.1, 3.2 and 3.4). The number of topics addressed in a year (component 3.2) and proportions of time devoted to developing knowledge and skill (component 3.1) are also reported.

The "typical" school board in Canada has adopted a concept of the effective principal as an instructional leader; the dominant goal for the in-service education of principals was to improve overall effectiveness. Specific objectives for in-service were reported to be determined by a group, by the principals themselves or by the senior administration. Somewhat more than half the in-service time focused on the acquisition of knowledge objectives and slightly less than half on skill development. In the course of a year this in-service covered three to five topics.

Among the three demograhic variables for which data were collected, variation in the purposes for in-service education was unrelated to province but significantly related to board size and nature of region. In particular, as boards increased in size and shifted from rural to urban, there was a tendency to include more topics per year in their in-service. Small and rural boards reported covering about two topics, whereas medium and large, urban-rural and urban boards varied from about three to five topics covered each year. Board size was also significantly related to the concept of an effective leader. Whereas medium and large boards tended to report an instructional leadership image of the effective principal, small boards tended not to have any image widely shared within the board.

Table 13: Goals for Principal In-Service Education

	Frequency	Percentage
1. Concept of effective principal		
1.1 building administrator	15	10.2
1.2 policy implementation	2	1.6
1.3 instructional program leader	90	70.9
1.4 team builder	10	7.9
1.5 no shared concept	7	5.5
2. Dominant goal		
2.1 improve overall effect	90	71.4
2.2 increase specific policy procedure knowledge	10	7.9
2.3 solve immediate school/ system problems	7	5.6
2.4 other	19	15.1
3. Who determines objectives		
3.1 not explicitly set	9	7.0
3.2 principals or their representatives	63	48.8
3.3 senior administration	57	44.2
3.4 in-service trainers	7	5.4
3.5 group, variety of roles	51	39.5
3.6 other	9	7.0
4. Number of topics		
4.1 one or two	33	25.6
4.2 three to five	83	64.3
4.3 more than five	13	10.0

Table 13: continued

5. Proportion of time devoted to knowledge		
5.1 less than 1/3	25	19.4
5.2 less than 1/2	35	27.1
5.3 about 2/3	45	34.9
5.4 more than 2/3	9	7.0
6. Proportion of time devoted to skill development		
6.1 less than 1/3	31	24.0
6.2 less than 1/2	29	22.5
6.3 about 2/3	21	16.3
6.4 more than 2/3	10	7.8

Respondents to the questionnaire identified a total of 365 specific topics addressed through their in-service education programs during the 1984-85 school year. These topics were further classified, and the number of specific topics associated with each category is reported in Table 14. In addition to the 13 categories of topics, 21 specific policies, laws or legal issues were identified by questionnaire respondents. These data are relevant to the nature of goals and content for in-service education (component 3.1 in the framework).

Among the 13 categories of topics, two address directly what might be called "criterion variables"; the characteristics of Effective Leadership (category 1) and Effective Schools (category 2). In category 1 are such specific topics as "leadership styles", "situational leadership", and "effective school management". Category 2 includes, for example, the topics "effective schools research" and "more effective schools projects."

The remaining categories address strategies that principals might use in order to increase their own and their schools' effectiveness. For example, some of the specific topics encompassed by category 5, are, effective communication with staff," "team building", "effective communication techniques", and "conducting effective staff meetings". Category 12, Student Relationships, included such topics as "student drop-outs", discipline in the classroom and student evaluation.

Program Planning was the most frequently identified category. This is not surprising since it encompassed concerns not only for planning processes in general but also for information about specific program policies (e.g. writing in the Junior Division, Core French, English as a Second Language). Staff Supervision and Evaluation stands out as a particularly popular category. It was identified by 66 respondents and, unlike Program Planning, incorporates a relatively unidimensional set of specific topics (e.g. "techniques of supervision", "evaluation of teachers", "teacher supervision for effectiveness"); leadership is a similar category from this point of view. None of the remaining categories commanded a large following. Issues concerning school finance and budgeting, for example, were mentioned by only seven respondents.

Table 14: Categories of Principal In-service Topics

Categories of In-service Topics	Frequency	Percentage
1. Leadership	45	12
2. Effective schools	28	8
3. Interpersonal relationships	30	8
4. Staff development	13	4
5. Effective communication with staff	9	2
6. School-community relations	22	6
7. School administration procedures	21	6
8. Program planning	76	21
9. Program implementation	21	6
10. Program monitoring	15	4
11. Providing support resources	7	1
12. Student relationships	12	3
13. Staff supervisor and evaluation	66	18

DISCUSSION AND RECOMMENDATIONS

Our results provide a description of school system principal in-service education in Canada, at present. The description is incomplete in scope, given the framework for the study, and limited in depth by the nature of the survey data.

Recommendations For Research

These limitations, of course, contain some of the seeds for our suggestions regarding further research. First, basic data is not yet available for at least five components of principal in-service suggested by the framework for this study: relationship to school system plans, the nature of rewards related to in-service, the climate for learning, the location of the in-service and purposes for evaluation. Collecting such data is one reasonable next step in these early stages, for better understanding of existing practices.

Second, subsequent descriptive research, using methods likely to yield better understanding, would be helpful in relation to the goals for in-service. We still have only a hazy picture of what school systems are trying to accomplish and the extent to which there are defensible conceptions of professional growth related to such goals.

Third, it is evident, from data in the present study, that school systems in Canada vary widely in the nature of their in-service programs. While some of this variation seems related to school system size and nature of region, we have little understanding of what factors permit, for example, two school systems with overtly similar demographic features to offer in-service programs which are poles apart in their characteristics. It is likely true that many small rural systems have fewer resources for in-service than do large urban systems, for instance. Nevertheless, a few small rural systems appear to have exemplary programs. How do they do it? Some case study research in systems with exemplary practices would be instructive (perhaps in contrast with negative cases). In our view, it would be especially important, in such cases, to determine what motivates some systems to strive for exemplary practices and to examine ways that such "will" could be fostered in other systems. Our guess is that the answers to these questions may lie in what is now being referred to broadly as an organization's "culture".

Daresh and LaPlant (1984) uncovered only 11 empirical studies investigating the effects of in-service experiences for administrators on either teachers or administrators; generally, these studies were unable to detect any of the positive effects that were expected. This leads us to recommend research, in conjunction with ongoing training programs that can be modified, that both examines the effects of such training, and searches for the crucial variables or clusters of variables accounting for such causes. Silver and Moyle (1984) provide a good example of this kind of research.

Recommendations for Practice

We have suggested that more research be undertaken to better understand the nature of typical and of especially effective school system-based principal in-service, its causes and consequences. Our initial premise, furthermore, was that school systems-based in-service is potentially the most productive type to foster in the future. The implication underlying these combined suggestions concerns the role of external agencies traditionally in the business of offering professional development programs for principals. Their role should begin to change significantly. School systems should begin to acquire greater responsibility for the direction and control of principal in-service, while external agencies should acquire greater responsibility for advising and supporting school systems' initiatives.

There seems to be several continuing and quite crucial support roles for external agencies to play in principal in-service other than offering it themselves. Many of these agencies could begin to encourage school systems to develop their own long-term plans for principal development. They could work with individual school systems to plan, implement, evaluate and revise programs for such development; and they could do this work reflectively, as a way of meeting some of the research needs identified earlier. External agencies might even contract with individual school systems for the development of locally tailored programs. It is the school systems themselves, however, that ought to specify what they need and exercise control over the delivery.

We have seen subtle and apparently effective versions of the roles we are suggesting played by universities in the context of graduate instruction (See Leithwood, 1983, for several examples). If institutions of graduate instruction, with their usual, inflexible armament of regulations can do it, most other relevant external agencies ought to be able to also.

Our remaining implications for practice emerge from a comparison between survey responses and ideal in-service practices identified in the framework for the study (they are offered cautiously because of the limited confidence one can have in the validity of the research data on which the framework is based). These implications focus on the in-service practices identified most frequently by respondents and attempt to answer the questions: What should school systems engaged in such practices change to become more consistent with the best practices identified by contemporary research? What existing practices should they retain?

In reference to the context for principal in-service, the main implication for change from this study concerns time. While school systems typically devote two days to one week per year to principal in-service, those few studies that have reported significant in-service effects used two to four times that amount (Silver and Moyle, 1984; Gerald Sloan, 1984; Sadler, 1984). Whether changes in knowledge, skill, principals' behaviour or school practices and outcomes are viewed as the goals of in-service, significant increases in available time appear to be necessary as a pre-condition for significant increases of such accomplishment. On the other hand, evidence tends to support the typical practices of Canadian school systems with respect to attendance policies, the support provided to in-service by colleagues and central administrators, and the use of a variety of instructors, most of whom are likely to have initial credibility with participants.

Two implications for change emerge from our data on the training process. First, while use of a wide array of instructional techniques is reported (in line with what appears to be best practices), it seems clear that lectures are the dominant technique used. This violates the consistent suggestion from both the in-service and adult education literature that techniques be used with experienced professionals which actively involve them and allow them to draw extensively on their own experiences. Second, although our data are limited about this component, techniques used for evaluating in-service programs appear to be extremely crude; either only informal evaluation is undertaken or participant questionnaires are used. Data resulting from these techniques seem unlikely to provide a confident footing on which to judge in-service effects, other than the short-term enjoyment of participants, and to systematically refine in-service programs in the formative way recommended by current research evidence. Developing more rigorous, ongoing evaluation processes seems especially crucial since we know so little about effective in-service, in general, on which we can rely; it is a "bootstrapping" method available to any school system that wishes to systematically improve the quality of its in-service programs. But evaluation of the sort being recommended, while technically feasible as Sadler (1984), and Silver and Moyle (1984) demonstrate, is costly. Many school systems do not have the "in-house" expertise to do it or the resources, at present, to buy it. This strikes us as one of the most promising areas in which school systems and external in-service agencies might initiate greater collaboration. Such collaboration should be able to readily accomodate both research and program improvement interests.

We concur with Daresh and LaPlant (1984) when they claim that:

> The core of any administrator in-service model requires a clear definition of the ultimate goal of any training and learning experience, namely a clear conception of what makes an administrator effective. In-service occurs

> when there is a desired state toward which the participants are being encouraged to move (p. 21).

From our data on the goals for principal in-service education in Canada, the extent to which school systems possesses such a concept is by no means clear. Most school systems do report a concept of the effective principal which is consistent with current knowledge about administrative effectiveness; they also indicate that their overall goal is to improve such effectiveness. For these reasons, we are inclined to believe that the current intentions and directions of school system in-service are to be encouraged. Less positively, however, the relatively large number of topics introduced in the brief time available for instruction (see Table 3) and the nature of many of these topics (see Table 4) creates the suspicion that many school systems may not presently have access to sufficiently extensive knowledge about administrative effectiveness to adequately follow through on their intentions. Once again, this appears to be a promising focus on which to target school system and external in-service agency collaboration.

Summary

In sum, this survey study of one hundred twenty-nine randomly sampled school systems suggests that principal in-service education is offered by a large proportion of Canadian school systems. As compared with effective practices reported in the research literature, this in-service could not be labelled "deplorable" as has much such in-service been characterized in other countries. The general directions of the in-service, the bases for determining specific participant needs, the array of instructional techniques used, and the moral and symbolic support provided by school systems for the in-service are examples of current Canadian school system practices in line with recommendations from research on effective in-service programs. Data from the survey do suggest, however, that current programs could become much more effective with more extensive knowledge of administrative effectiveness, significant increases in the time available for instruction, greater reliance on interactive instructional techniques, and more systematic, ongoing program evaluations. The first and last of these improvements might well be undertaken in collaboration with agencies external to school systems with responsibilities for administration development - universities, Ministries of Education and the like.

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APPENDIX A

PRINCIPAL INTERVIEW

For Secondary Principals

Let us begin by talking about the organization of your school. This school has its own unique organization of classes, teachers, time, and space and I would like to ask you some questions about the decisions that are made to establish this organization.

1. Would you describe the process you follow to get the school organized each year.
    - 1.1 What decisions have to be made? Note: probe for staffing, student placement, timetable, hiring, transferring, etc. Select at least 3 decisions and use following questions for each.

    - 1.2 Would you describe the actual process of steps followed in making these decisions?

    - 1.3 Who is involved in making these decisions?
    - 1.4 How would you describe their roles?
    - 1.5 Who makes the final decision?
    - 1.6 Are there criteria you want to be used in making these decisions? Are any criteria more important than any others?
    - 1.7 What types of information are important in making these decisions?
    - 1.8 Do you try to influence the information considered?
    - 1.9 If a conflict or disagreement arises, how is it handled?
    - 1.10 Why do you think these decisions are made this way?

2. We have looked at some of the areas of decision making concerning the organization of the school. Are there others you think we should discuss so I have a good overview?

    Note: If yes, pursue as above.

3. Would you say what you have described is typical of your decision making?
    - 3.1 If not, would you please describe some examples that are different and specify how you think they differ?

4. Would you like staff to be more involved in any of the decisions we have discussed?
    - 4.1 If yes, are there things you do to encourage them to be more involved?

5. Are there decisions concerning the organization of the school, departments/divisions, or program, that are made at the department/division or individual level?
    - 5.1 If yes, which types of decisions?
    - 5.2 Do you try to influence hoow these decisions get made? How? Why?
    - 5.3 Do you try to influence the criteria used?
    - 5.4 Do you provide information to departments/divisions to influence decisions made at that level?

5.5 What types of information do you think it is important for people to consider in their decision making?

5.6 Do you ever ask about information used in decision making at the department/division level?

6. Looking at all the decisions concerning organization, are there any you think the principal ought to make? If yes, which ones?

   6.1 Are there any you think the staff ought to make? If yes, which ones?

7. Throughout the year there must be many decisions to make about various aspects of the school and its organization. How do you know when these decisions have to be made?

8. Do you ever attempt to change how you or your staff go about making the kinds of decisions we have talked about?

   8.1 Why?

9. If we looked at all of the decisions that go into your organization, what would you say you are trying to accomplish through these decisions? In other words, what do you want the organization to do for you, once it is in place?

10. Does your school set any school goals or priorities?

    10.1 If yes, what are they?

    10.2 How does this happen?

    10.3 What happens with these goals once they have been set?

Now that I have some idea about how your school is organized, I would like to talk about your role as it pertains to things that happen within departments/divisions and classes.

11. Are your teachers required to prepare plans for their programs?

    11.1 What are your major concerns about program and curriculum?

    11.2 If teachers are required to do plans, what do you want their plans to include? How do they know these things?

    11.3 Why are those things important?

    11.4 Are their plans reviewed or checked by anyone? What would happen if a teacher's plans were unacceptable?

12. In recent years there has been an increasing number of new programs to implement. What happens to new guidelines or programs when they come to your school?

    12.1 How would you describe your role in implementing new programs?

    12.2 Are any programs considered more important than others?

    12.3 Do any of your staff plan in groups?

    12.4 How would you describe your role in program development in your school?

13. What ways do you like to use to check that programs are being implemented?
    13.1 Does your school system have procedures for monitoring program implementation? How do they work? Do you as a principal have a specific role to play?

Now that we have talked about curriculum and programs, let us talk about your views on teaching.

14. How would you describe an excellent teacher, or in other words what in your view constitutes excellent teaching?
    14.1 Is there an approach to instruction that you consider essential to excellent teaching?
    14.2 How should student evaluation be handled?
    14.3 Do you have views about the uses of materials and resources?
    14.4 What, in your opinion, constitutes really effective classroom management?
    14.5 What types of relationships do you believe there should be in the classroom?
    14.6 Are there other aspects you would like to mention?

15. Do your staff know about your beliefs concerning teaching?

16. How closely would you say the staff in your school come to matching your beliefs?

17. Would you describe for me how teacher supervision is handled in your school?
    17.1 What are the most important things you are looking for in teacher supervision?
    17.2 Are the teachers involved in determining what will be looked at?
    17.3 Do you have the same expectations for all teachers?
    17.4 Is the same procedure used with all teachers in the same way?
    17.5 How did you decide on the procedure(s)?
    17.6 Are the expectations of teachers shared with anyone else?
    17.7 What types of information are collected?
    17.8 Are teachers provided with feedback? What kind of feedback are they given?
    17.9 What usually happens if some type of problem has come to light through this process? Please describe several examples.
    17.10 How do you feel about becoming involved in helping a staff member with a personal problem?

Teaching deals directly with the students, so let's now look at the students for a moment, and then the community.

18. What happens in your school to identify and handle students with special problems?
    18.1 Who is involved?
    18.2 What is your role?
    18.3 Do you have anything to do in dealing with the results of testing, etc., for individuals and/or classes?

19. How does your school communicate with and report to parents and the community at large?
    - 19.1 What types of things do you communicate with them about?
    - 19.2 What types of relationships do you want to have with parents and the community?
    - 19.3 What would you say the community expects of the school? How do you feel about that?
    - 19.4 What is your approach in handling problems with parents? With other members of the community?
    - 19.5 Do you read report cards before they go out? Why?
    - 19.6 Are you involved in parent interviews?

I would like to shift our focus of attention now to the school as a whole.

20. How would you describe the tone or climate in your school?
    - 20.1 Do you have expectations for how staff will treat each other - in the staff room? - halls? - meetings, etc?
    - 20.2 Do you have expectations for how staff will treat other adults in the school?
    - 20.3 Do you have expectations of how staff will treat students while not in the classroom?
    - 20.4 Why do you think these expectations are important?
    - 20.5 Do staff know about and share these expectations?
    - 20.6 What happens when a staff member doesn't behave as you would like? How do you handle such situations? How do you handle problems between staff?
    - 20.7 What do you think is most important about the physical appearance or condition of the school as it affects school climate?
    - 20.8 How would you describe your role in terms of school climate?

21. How do you expect students to behave at school?
    - 21.1 How are these expectations established?
    - 21.2 Do staff and students know this is what is expected?
    - 21.3 Would you describe your approach to discipline? What procedures are used? Are they the same for all students?
    - 21.4 What is your philosophy about student discipline?

22. Would you describe your school's extra-curricular program?
    - 22.1 What do you see as the purpose or the role of an extra-curricular program in the school?
    - 22.2 How is the program organized?
    - 22.3 What proportion of students would you say participates?
    - 22.4 Are there any awards or other type of recognition? What is your philosophy about this?

Continuing on from school climate let us discuss communication within the school.

23. Throughout the year, how do you usually communicate with staff?
    - 23.1 How is routine information handled?

23.2 What do you see as the purpose of staff meetings?
23.3 Are there things you do to facilitate communication among staff?
23.4 Do you have anything like a school handbook for staff? If yes, how was it developed? When?

24. Are there things you do to motivate staff?

25. Through the year how do you communicate directly with students?
    25.1 For what reasons do you typically communicate with students?
    25.2 Are there other times at which you are involved directly in meeting the needs of the students?

26. Earlier we talked about teacher supervision. Do you have a role in supervising other staff in your school?
    26.1 What other roles do you supervise?
    26.2 How is the supervision carried out?
    26.3 How are the expectations for these staff established?
    26.4 Are these expectations shared with anyone else?
    26.5 Are staff provided with feedback?
    26.6 What usually happens if some type of problem comes to light as a result of the supervision process?

27. Would you describe how professional development is handled in your school?
    27.1 Do your teachers ask for particular things? How are such requests handled?
    27.2 If you have to set priorities, how do you do that?
    27.3 Do you ever suggest things to staff for their own professional development? Why would that happen?
    27.4 How would you describe your role typically in professional development in the school?
    27.5 Do you provide non-teaching time for staff? What is done?

28. How is the provision of material resources handled in your school?
    28.1 Beyond the normal teaching staff, what other human resources are typically used in your school?
    28.2 Do you have a role to play in facilitating the use of human resources?
    28.3 To what extent does the school draw on support and resources from the community?
    28.4 Does your school do anything specifically to build this support?

Let us finish off by talking about things from a somewhat more personal point of view.

29. How is your day usually organized?
    29.1 What would you describe as the routine parts of your job? How do you handle them?
    29.2 What would you say takes most of your time? How do you feel about that?

30. Thinking about yourself as a principal, how would you describe your style?

31. As far as you are concerned, what are the most important parts of your job? Why?

32. Do you set goals for yourself or do they just evolve through the year?
    - 32.1 If you do set goals, what happens to them?
    - 32.2 Do you share them with anyone else? Why?
    - 32.3 Do these goals influence decisions you make or anything else you do?

33. What are the most important things you want students to get out of the time they spend in your school?
    - 33.1 Do these things describe what you believe it means to be educated? If not, what else would you add?
    - 33.2 Based on the goals for students, how would you describe your philosophy of education? How do you believe students learn? What is the fundamental role of the school?

34. Finally, one last opinion. Education is a field fraught with many many changes on a continual basis. What is your attitude toward change in general?
    - 34.1 What is your attitude toward change in your school?